CAPITA

SYNAPTIC
CLIENT CARE
Manage Clients. Better.

Client Care Desktop Upgrade User Guide

(Version 4.3.2)

CAPITA

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1 Introduction

This document briefly describes the new features and modifications to the existing functionality of Client Care Desktop (CCD). It does not detail every change made to the system to improve the overall product where the functionality is the same as previous versions of the software.

Please refer to the CCD 4.3.2 Features and Modifications Guide for a high level overview of the key changes. An additional training guide and short demonstration videos are also available for the new Contract Enquiry service which can be downloaded from the Capita Financial Software website:

http://www.capitafinancialsoftware.co.uk/support/downloads/synaptic-client-care

If you are upgrading from a version prior to CCD v4.3.1, have any specific training requirements or any general questions around the release, please contact the Client Care department:

Tel: 0800 028 0033

Email: financialsoftwareclientcare@capita.co.uk

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2 New Features and Modifications

This section details the significant new features and updates included in this release.

2.1 New Contract Enquiry Functionality

As part of our move towards a more streamlined upgrade process, the new Contract Enquiry functionality is available as a separate module update, allowing you to take advantage of this new functionality without the need to carry out a full upgrade of CCD.

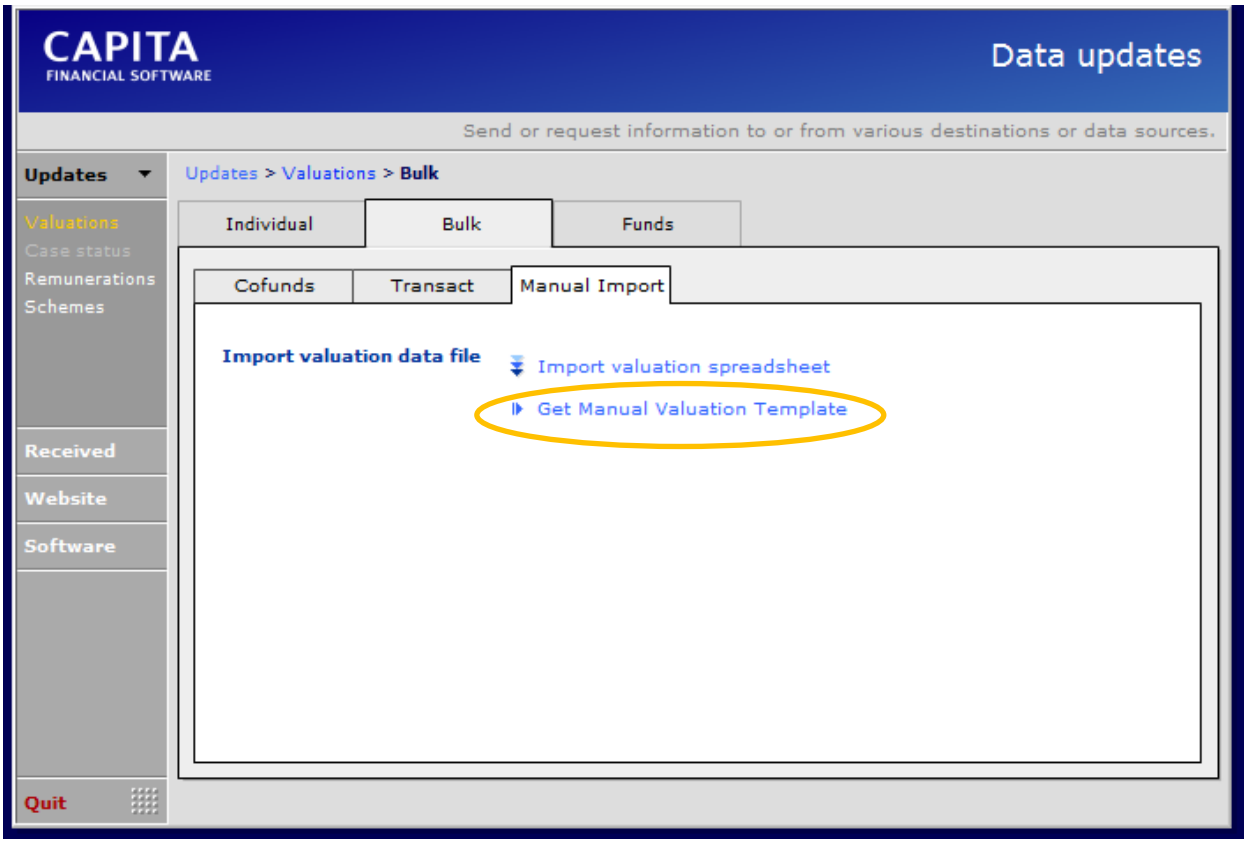
2.1.1 Import

This new service allows you to import Contract Enquiry valuation data provided by any UK insurer using a simple template. This enables population of fund information en masse, saving hours of time and effort.

The insurer does not have to be a recognised Origo or Contract Enquiry valuation service provider, therefore import of fund information at a contract level from any Platform, Discretionary Fund Manager or SIPP provider can be actioned.

Not all providers offer contract enquiry but do supply you with a spread sheet or CSV file with all of your clients' policy and fund information. It is now possible to import this information into CCD using a template spreadsheet.

The spreadsheet can be found in the **Updates >Valuations>Bulk>Manual Import** area of CCD.



Click on the link "Get Manual Valuation Template". Navigate to your desktop and open the template spreadsheet.

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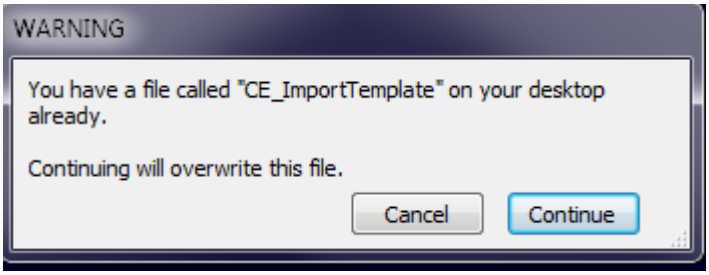
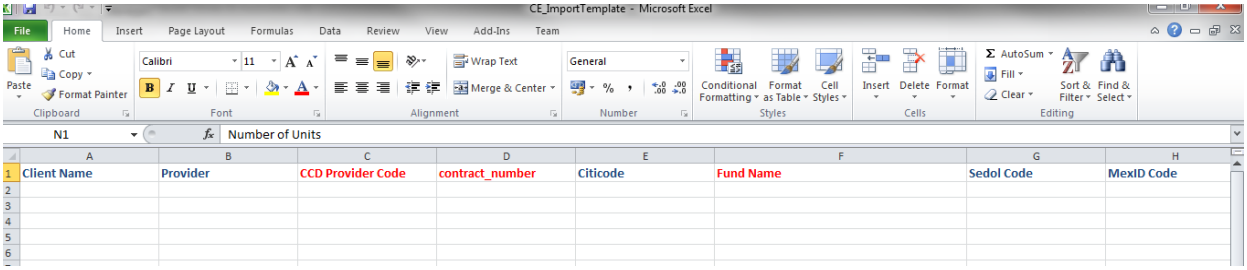
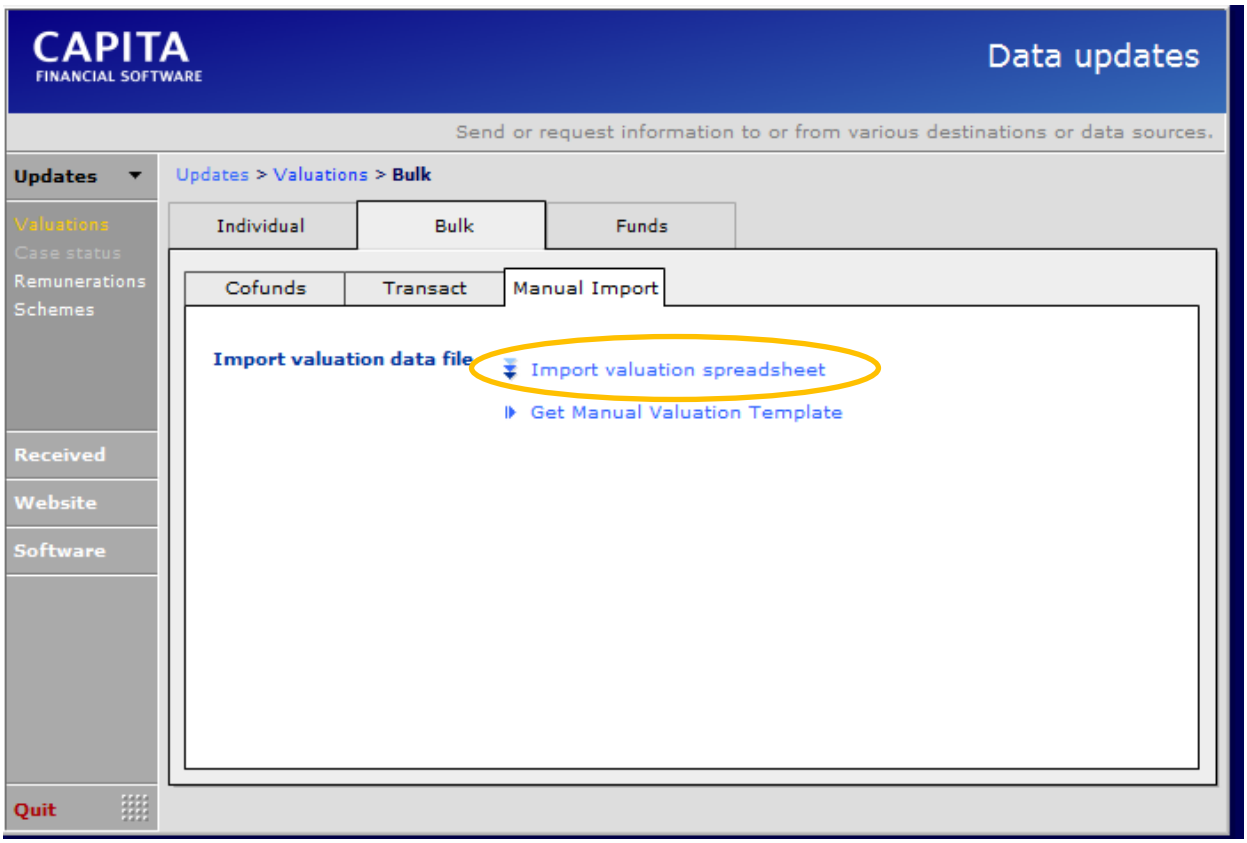
If you have previously saved the template to your desktop, the following message will then appear.



The column headings in red indicate the minimum information required for the manual import to work. Complete the columns with the information you have and save locally to your computer. Please do not rename the template as you will not be able to import the data into CCD. The template should be named: CE_ImportTemplate.xlsx.



From **Updates > Valuations > Bulk > Manual import,** click onto the "Import valuation spreadsheet" link.



Navigate to the saved spreadsheet and open. The spreadsheet will be automatically imported and displayed in **Updates > Received** as a standard Contract Enquiry message.

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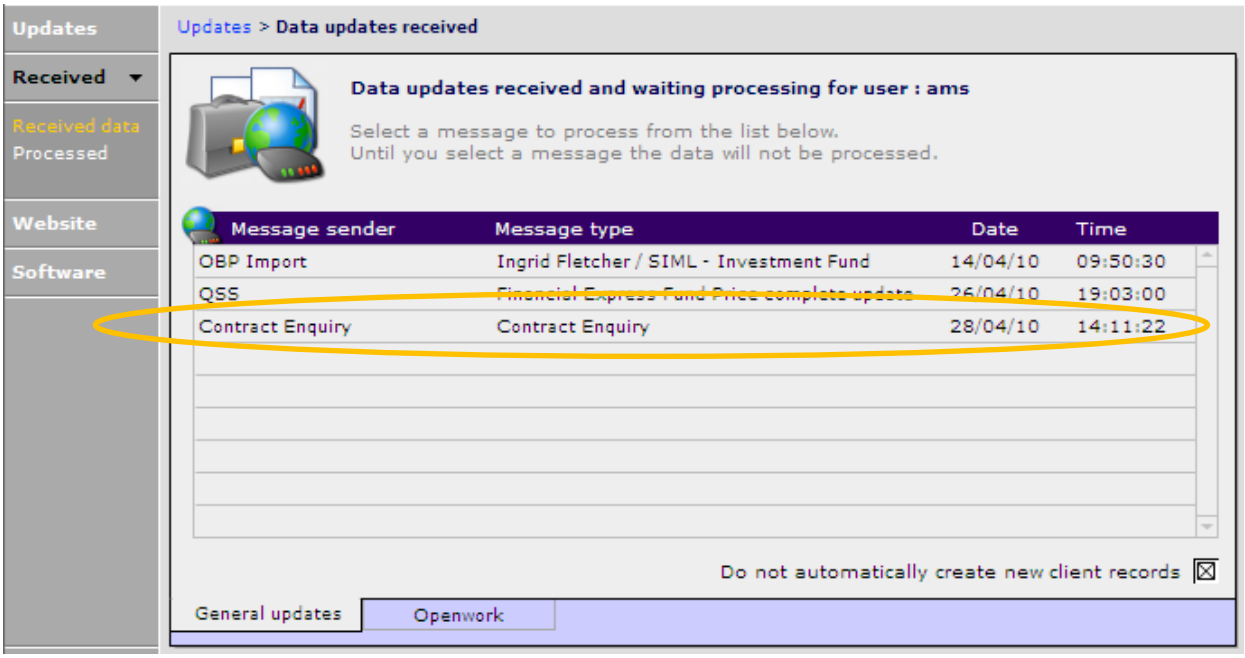
2.1.2 Mapping

This area has been completely reworked to provide you with a clear interface to map the data received at a Client, Holding and Fund level.

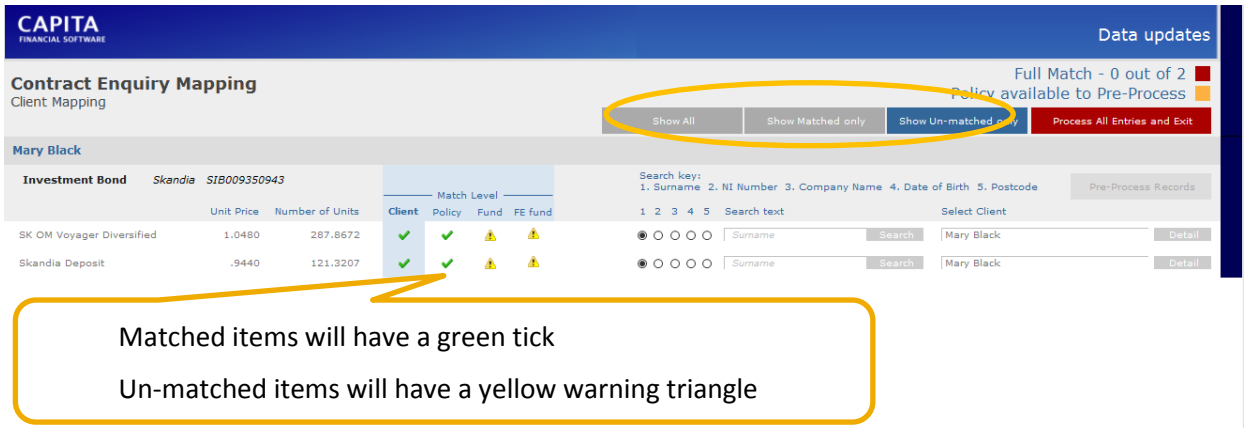
Once the request has been successful, a pop up message will appear on screen – informing the user that a contract enquiry message has been received

Navigate to the **Updates** section, either using the link on the 'Details' page of the Holding, or by clicking on the Updates module in the main menu.

Within the **Received data** section the message is waiting to be processed. Select the message and view the information listed.



When a Contract Enquiry message is imported, the following mapping screen will be displayed.



Matched items will have a green tick

Un-matched items will have a yellow warning triangle

The screen will default to the Show Un-matched only. To view all messages that have matched click onto the **Show all** or **Show match only** tabs at the top of the screen.

All of the providers who send a Citicode, Sedol or MexID in the fund message will be mapped automatically to an FE fund.

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If the provider only supplies their own provider code or an ISIN code in the fund message, the fund will need to be mapped to an FE fund.

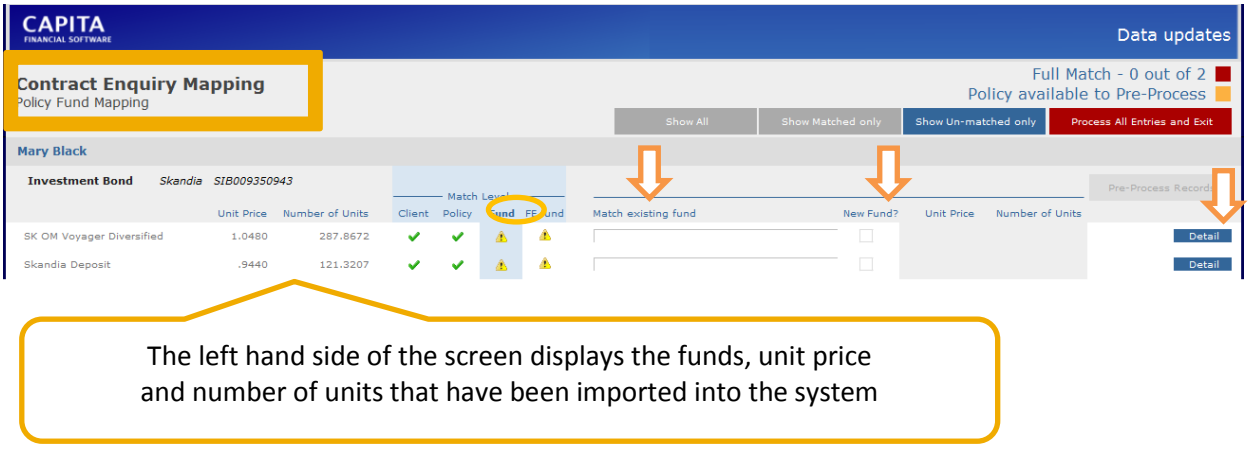
We have updated our matching criteria to match funds at a more granular level and introduced additional screens to allow you to view all of the detail on the fund, making the mapping process much easier and more robust.

If you have mapped the provider code to an FE fund in your previous system, these will need to be remapped. The FE Fund mapping only needs to be completed once for each fund and this mapping will be applied in all likewise funds thereafter once you have processed the policy.

The mapping process looks to match in 4 areas:

- Client – Client does/does not appear in the CCD database
- Policy – the policy number has/has not been found in the CCD database
- Fund – The fund is/is not already held against the policy
- FE fund – the incoming fund has/has not been matched to the equivalent fund in the Financial Express fund table.

In the above example both the client and policy have been matched but Fund and FE fund are un-matched. Click onto the heading 'Fund' to change the screen to **Policy Fund Mapping**.



The left hand side of the screen displays the funds, unit price and number of units that have been imported into the system

The right hand side of the screen is where you will match to existing funds held on the policy or mark that this is a new fund for this policy (new business or fund switch). To view existing funds held, click into the box for **Match existing fund** which will display all of the funds currently held against this policy.

If the fund required appears, select to match the incoming fund to the already recorded fund. If this is a new fund for this policy, click on the **New Fund?** checkbox. If you are unsure if any of the existing funds should be matched to the incoming fund, select from the drop down box and go to **Detail**. This will give you all of the detail for the inbound fund.

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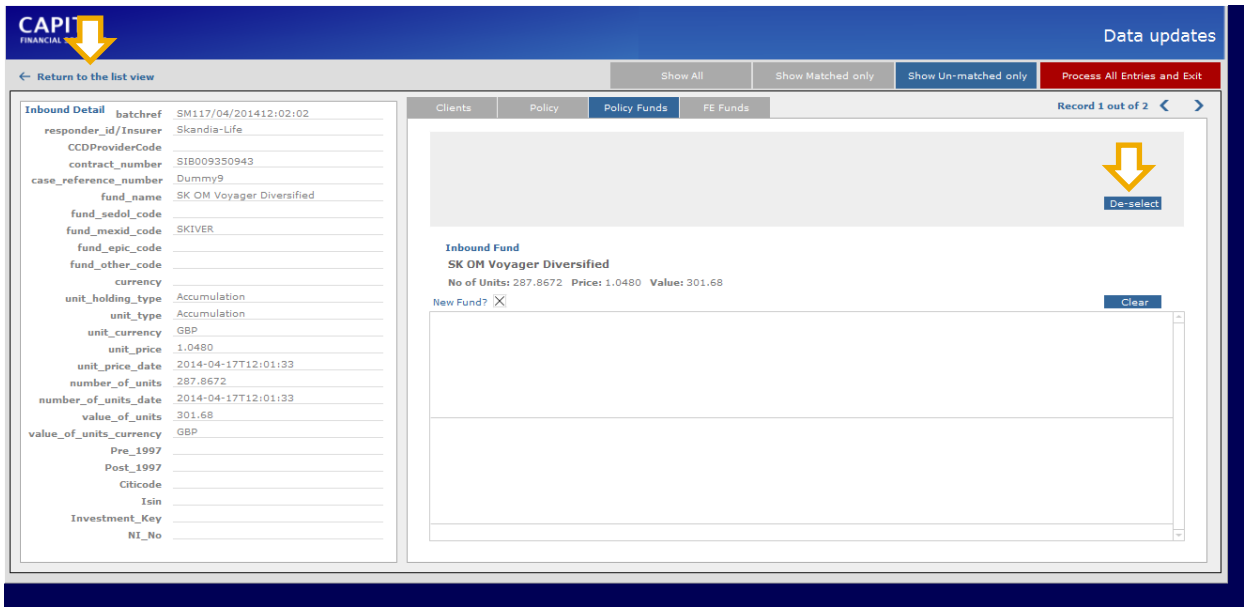
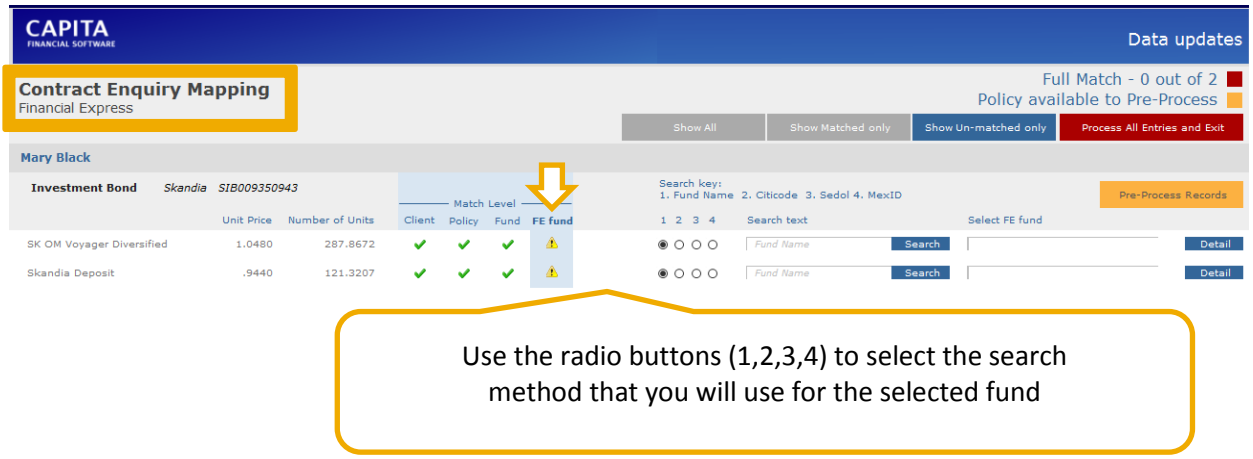


You can deselect the mapping and return, or if the funds are to be mapped, then return to the list view (top left of screen).

Now move onto the FE fund mapping. Click onto the column heading 'FE fund' to change to the FE fund mapping screen.


CAPITA
FINANCIAL SOFTWARE
Data updates
Contract Enquiry Mapping
Financial Express
Full Match - 0 out of 2
Policy available to Pre-Process
Show All
Show Matched only
Show Un-matched only
Process All Entries and Exit
Mary Black
Investment Bond Skandia SIB009350943
Match Level
Client Policy Fund FE fund
Search key:
1. Fund Name 2. Citicode 3. Sedol 4. MexID
Pre-Process Records
Unit Price Number of Units
1 2 3 4 Search text Select FE fund
SK OM Voyager Diversified 1.0480 287.8672
Skandia Deposit .9440 121.3207
Fund Name
Search
Detail
Use the radio buttons (1,2,3,4) to select the search method that you will use for the selected fund

There are 4 searches that can be done:

1 Fund Name
2 Citicode
3 Sedol
4 MexID

Using the radio buttons, select the search method that you will be using for each fund, (could be a different search for each fund). Enter your search information and 'search'. Fund names will search on partial or full information as below:

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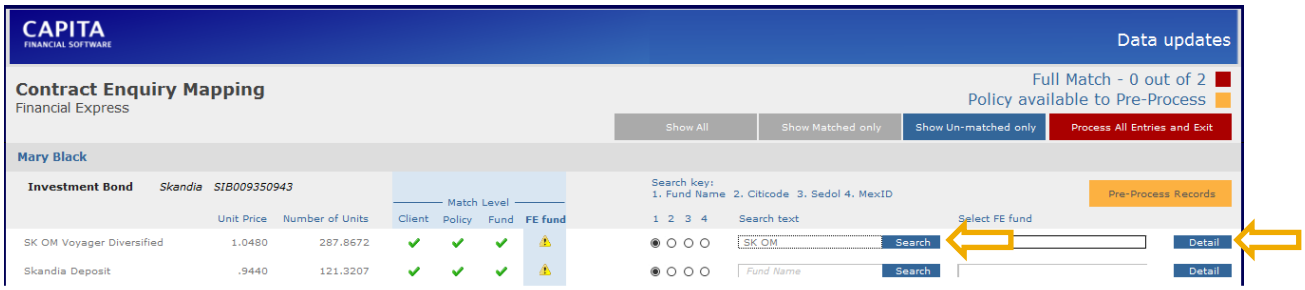
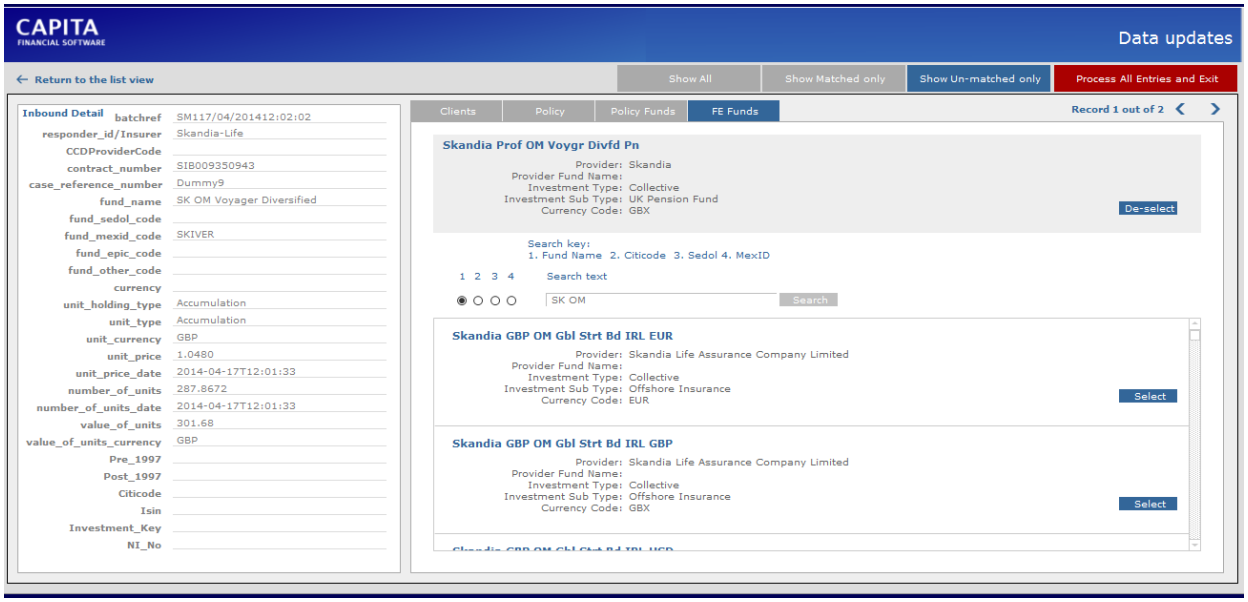


Select the fund required. As with the fund mapping, more detail can be viewed using the detail button.



The FE Fund mapping only needs to be completed once for each fund and this mapping will be applied in all cases where the inbound fund is used, regardless of whom the client or the provider is or which policy it is.

As this is a single policy valuation, once all of the mapping has been completed you can process all entries and exit. The fund information will now be attached to the policy in CCD. At this stage any existing funds that have not been matched will be archived automatically.

NB – It is possible to process the enquiry without matching to the FE fund but this will mean that the next time an enquiry is received containing the same fund, it will appear in the list to be mapped. Completing the mapping now will save time in the future.

It should also be noted that matching to FE fund level enables additional checks to be carried out in the background to validate currency codes and highlight any substantial differences on the inbound fund prices compared to the existing funds.

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If the client had not been matched during the import then there are 5 search criteria for the client:

1 Surname
2 NI Number
3 Company Name
4 Date of Birth
5 Postcode

If the policy has not been matched during the import then there are 4 search criteria for the policy:

1 Policy number
2 Product Basis
3 Product Category
4 Scheme Name

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2.2 Editable Value Lists

New functionality has been included to retain lists that have been edited by the end user in their current version and populate the upgraded system with the new core editable value lists together with the values entered by the firm (where a value has been recorded against a record in the CCD system).

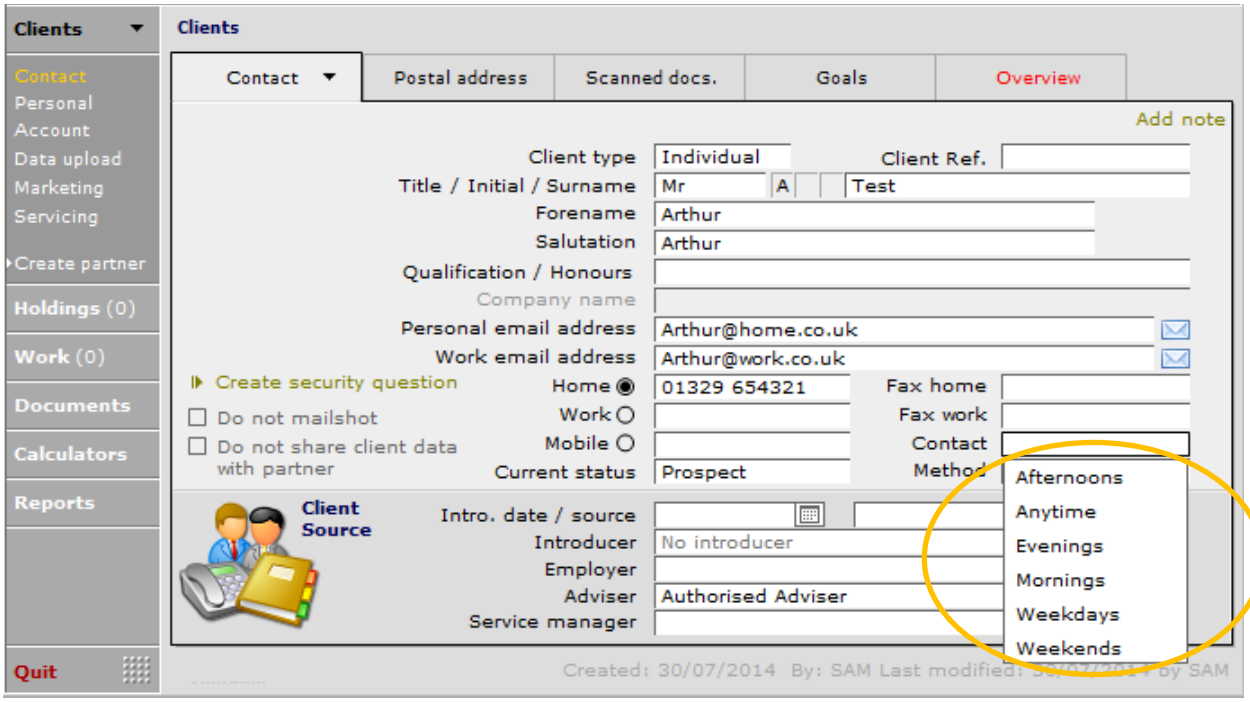
If a value in the list has not been used in your current system, the value will not appear in the list after the upgrade i.e. if you added Duke, Duchess and Lord under the contact 'Title' field but only used Duke and Duchess, Lord would not appear post upgrade. Once you have upgraded, if you add in any new values to the lists, the values will be retained when you next upgrade, even if the values have not been recorded against a record.

Please note: Before upgrading to 4.3.2, you should ensure you have used the Editable Value List document to note all of the values recorded in your current system that have not been used. This will allow you to repopulate these values into the system post upgrade to appear in your dropdown value lists to select from.

Important note for users of the Document Management systems INVU or CabiNet: You should take a note of the values on the list within the Clients > Scanned document 'When attaching documents, record it as type', as only the last value entered against a client will be displayed in this value list. After the upgrade, this full list will need to be populated following the instructions in this document.

As the editable values have to be entered individually, if you have a long list of values in this field, please inform our Client Care team when arranging your upgrade so that our support team can import the dropdown list back into your system post upgrade.

The value lists can be amended by expanding into the editable value list on each screen, indicated as editable when you rollover the field.



To amend an Editable Value Field in the current version, you just navigate to the field, hold down the Control button (Ctrl) and click into the field.

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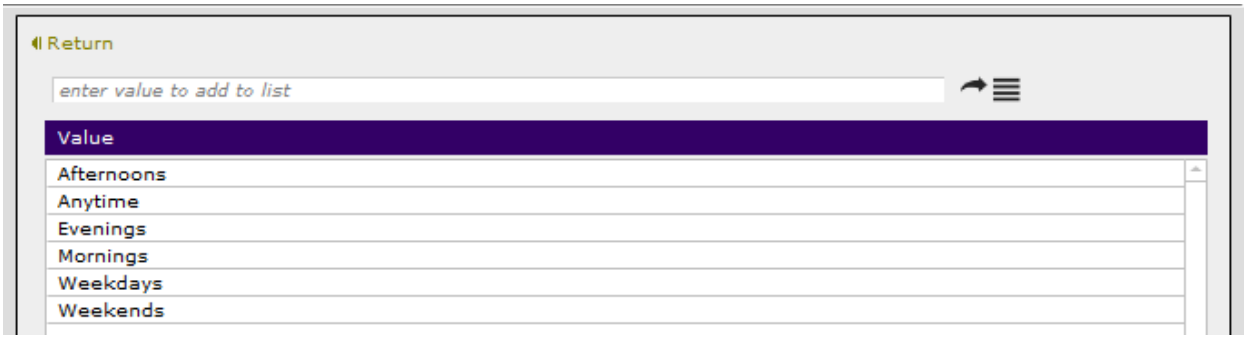
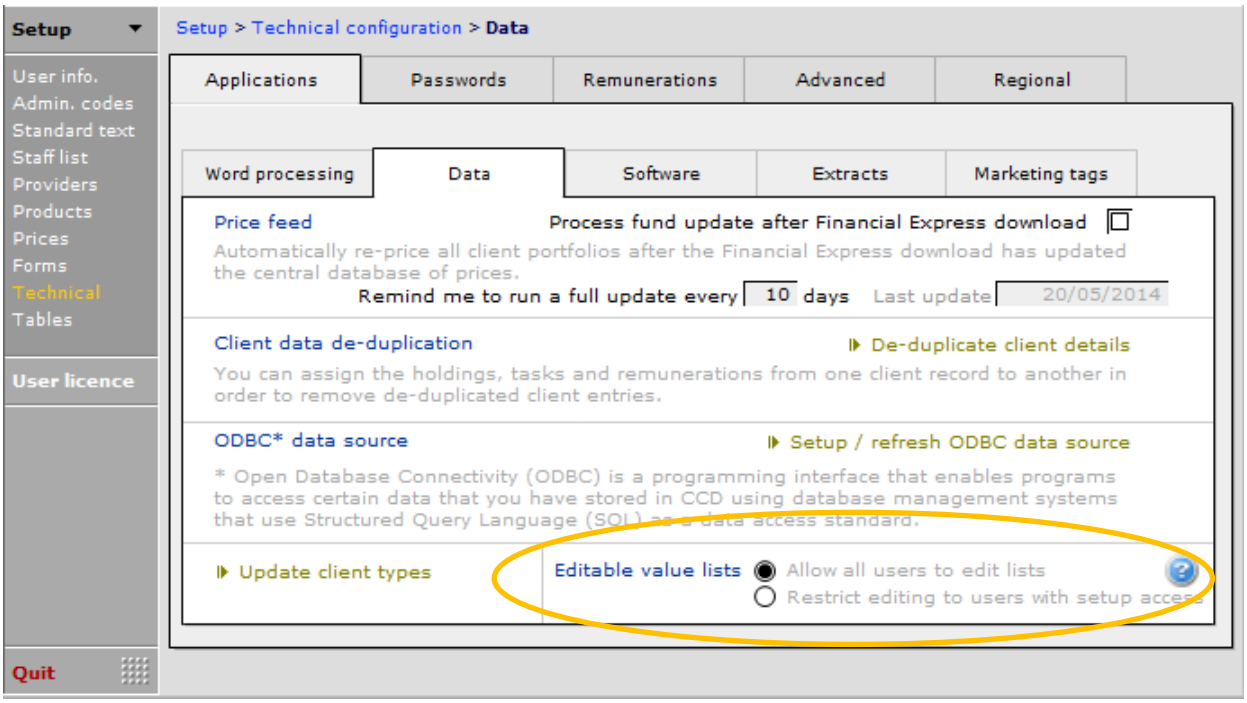


The value list for the field will be displayed, with an option to add a new value to the list by clicking on the button at the top right.

To return to the screen, click on the Return button at the top left.

The lists will be displayed in alphabetical order on the input screen, which will be filtered down as you start to enter data and will auto populate if there is only one option left.

The ability to update these value lists can be provided to all staff or restricted to those who have access to the Setup area of the system.


Setup
User info.
Admin. codes
Standard text
Staff list
Providers
Products
Prices
Forms
Technical
Tables
User licence
Quit
Setup > Technical configuration > Data
Applications
Passwords
Remunerations
Advanced
Regional
Word processing
Data
Software
Extracts
Marketing tags
Price feed
Process fund update after Financial Express download
Automatically re-price all client portfolios after the Financial Express download has updated the central database of prices.
Remind me to run a full update every 10 days
Last update 20/05/2014
Client data de-duplication
De-duplicate client details
You can assign the holdings, tasks and remunerations from one client record to another in order to remove de-duplicated client entries.
ODBC* data source
Setup / refresh ODBC data source
* Open Database Connectivity (ODBC) is a programming interface that enables programs to access certain data that you have stored in CCD using database management systems that use Structured Query Language (SQL) as a data access standard.
Update client types
Editable value lists
Allow all users to edit lists
Restrict editing to users with setup access

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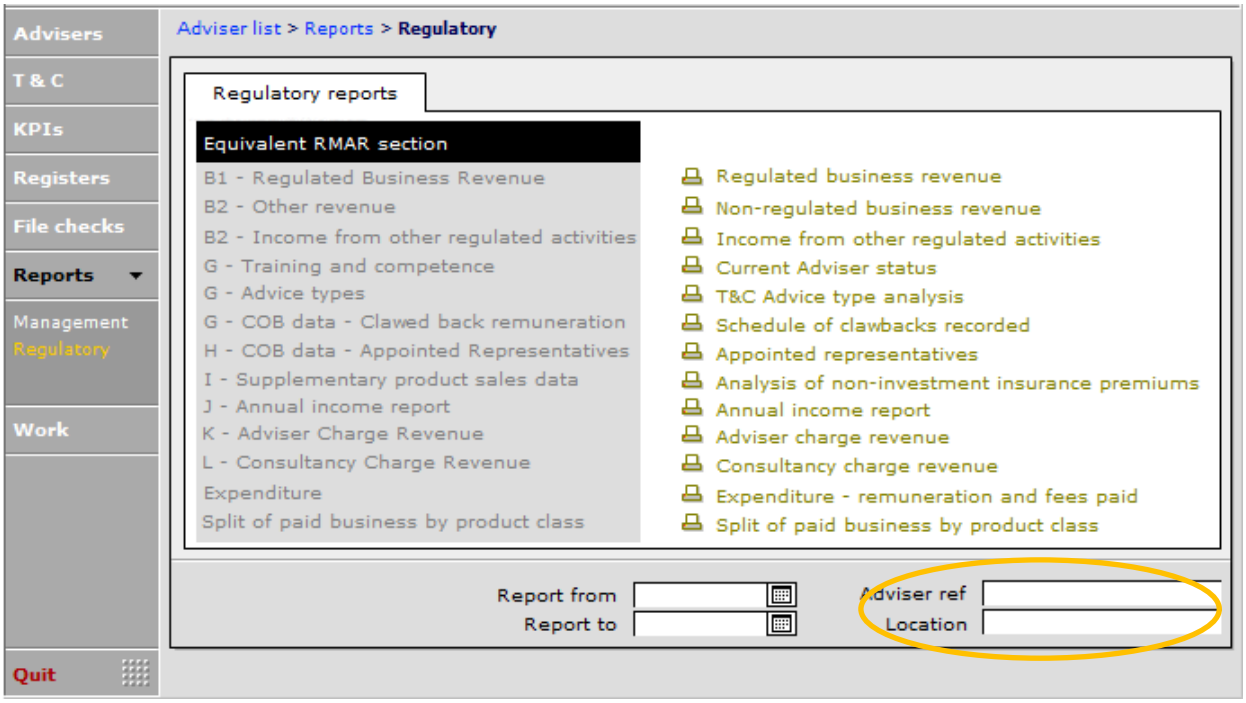
2.3 Compliance Reporting by Branch

Regulatory reports within the Compliance section have been extended to allow reporting by branch/location if required.

Within the Compliance > Reports > Regulatory area, select the branch or location from the list in the Location field and click on the report you wish to run*.



*This excludes Section J for this release as the report will need to be reworked to enable the figures to be broken down by location. Currently reports at system level. As an interim solution, the split of paid business report by product class should enable the FIRM to produce the figures by location for this release.

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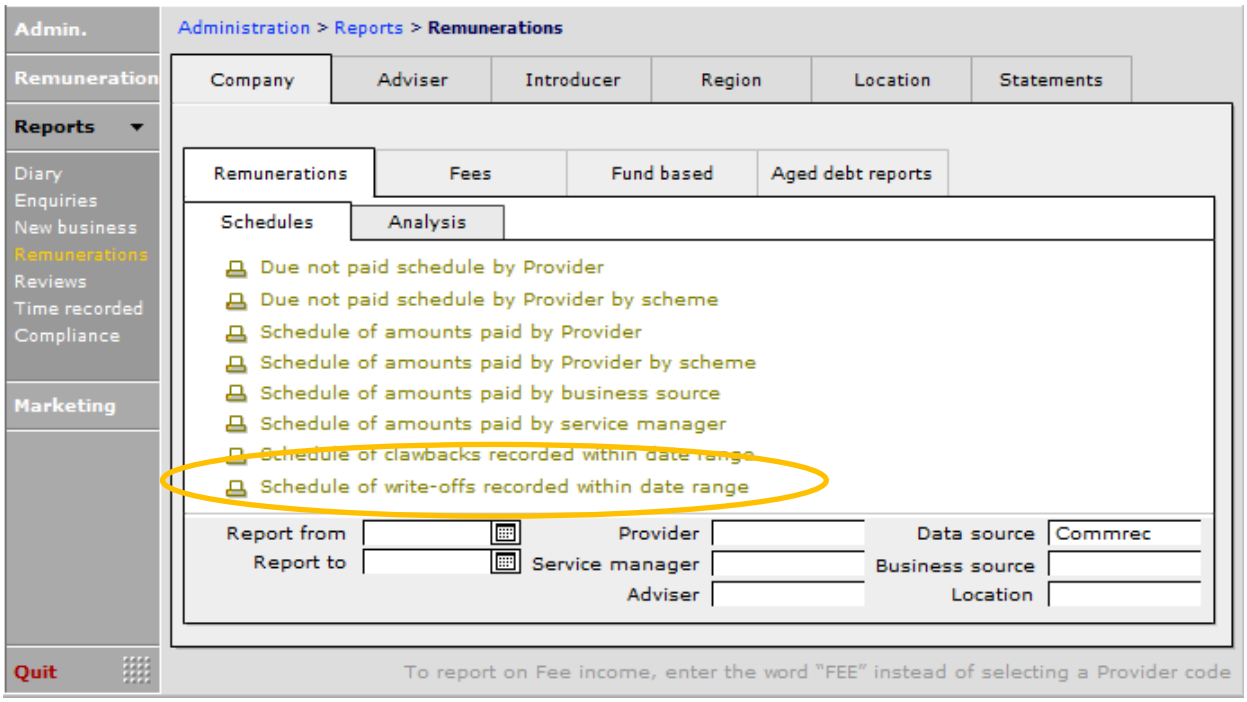
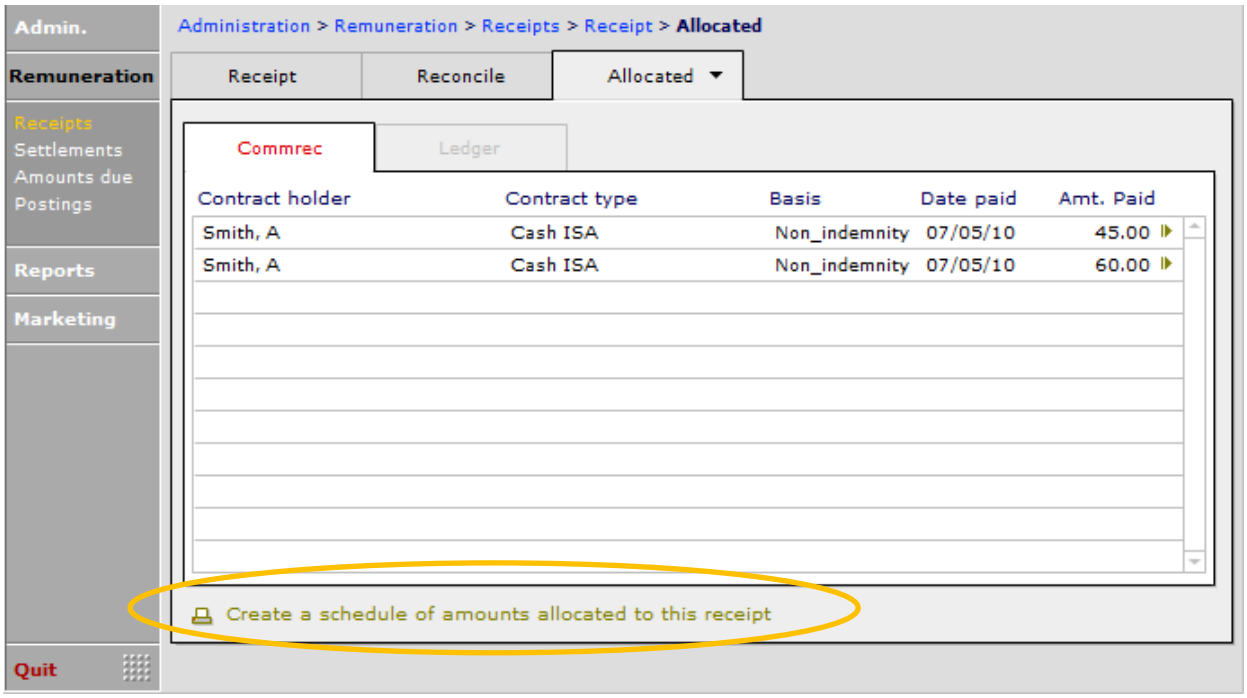
2.4 Write Off Report

A new remuneration schedule report is available within the administration area to display the remuneration amounts written off during the reconciliation process.

Admin > Reports > Remunerations > Schedules: 'Schedule of write- offs within date range'



Write off amounts have also been included on the existing allocation report within a receipt.



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Remuneration statement

Return | Print | Preview | Extract

Amounts allocated to receipt number N35526. Value £321 received from 3MC UK Limited

Contract holder	Product Provider and Contract type	Contract / Policy number	Transaction	Date received		Posted	Paid	Write-off
Smith, A	33 KWS Cash ISA	ISA1234	Initial - regular	07/05/10		50.00	45.00	5.00
Smith, A	33 KWS Cash ISA	ISA1234	Initial - regular	07/05/10		50.00	60.00	-10.00
Report total					£	100.00	105.00	-5.00

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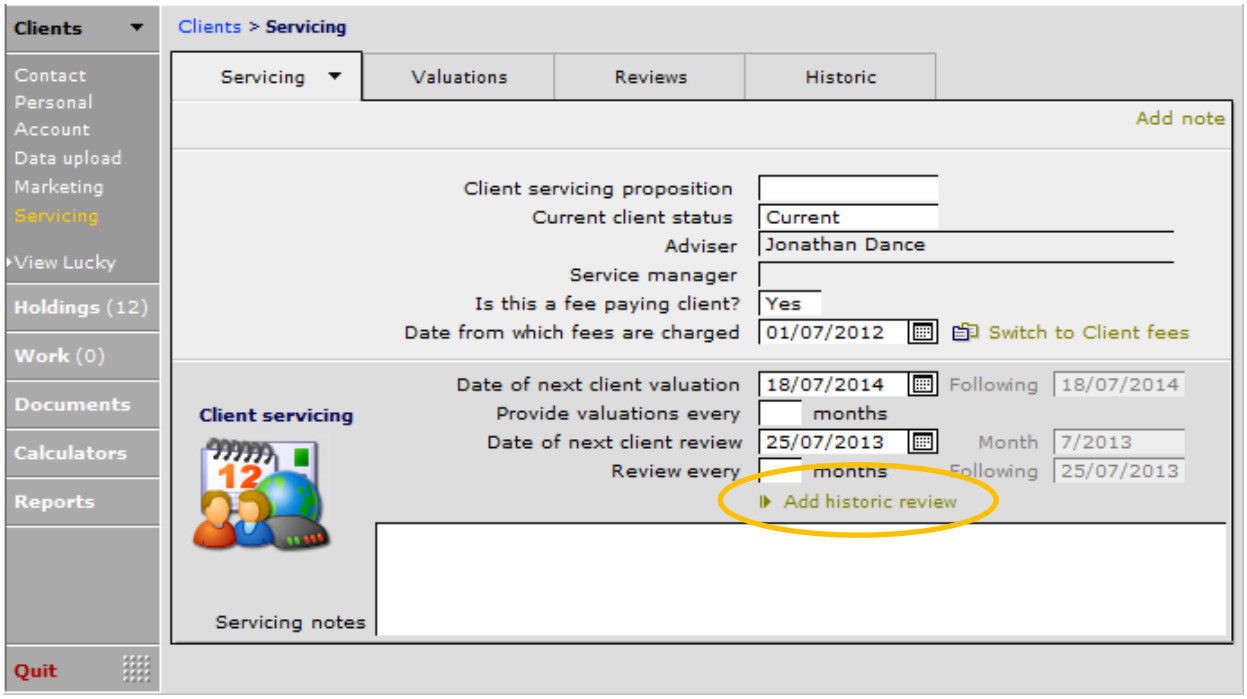
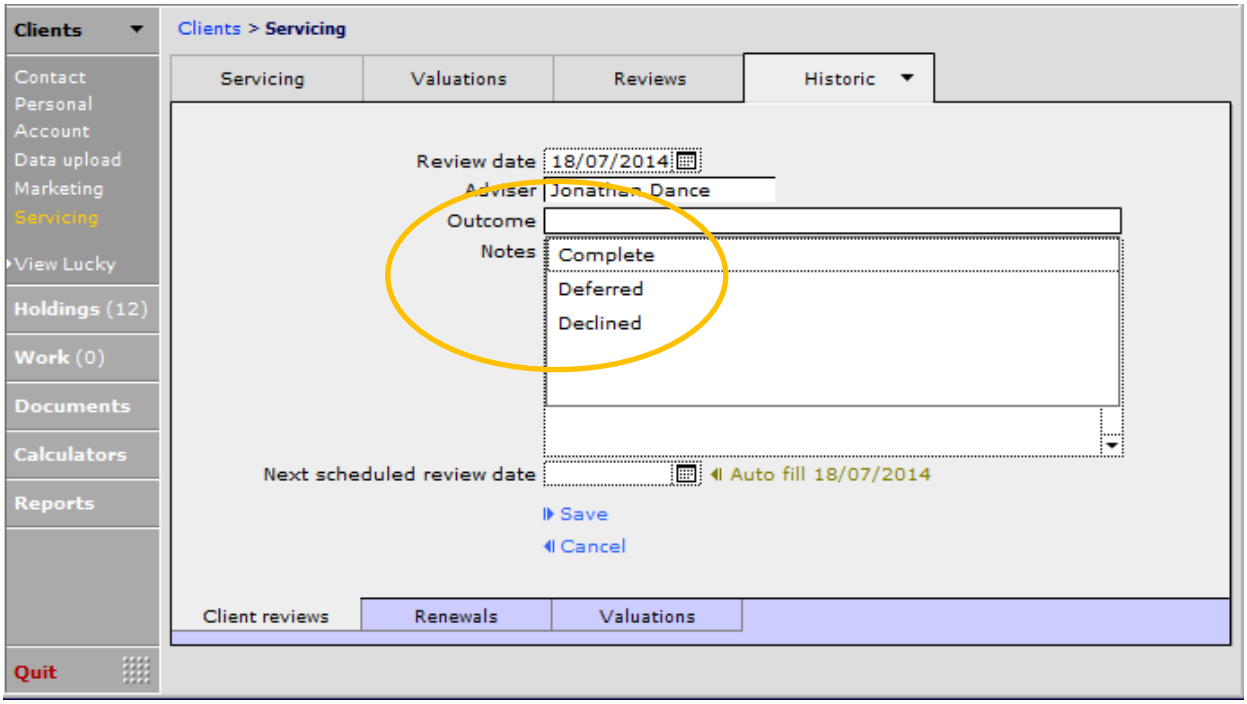
2.5 Servicing Reviews

The Outcome field recorded on an historical review is now an editable values list, enabling you to record a status on the review, such as Complete, Deferred or Declined.





A new review report is available within the administration area to provide a summary of reviews carried out during a specific period, summarised by outcome.

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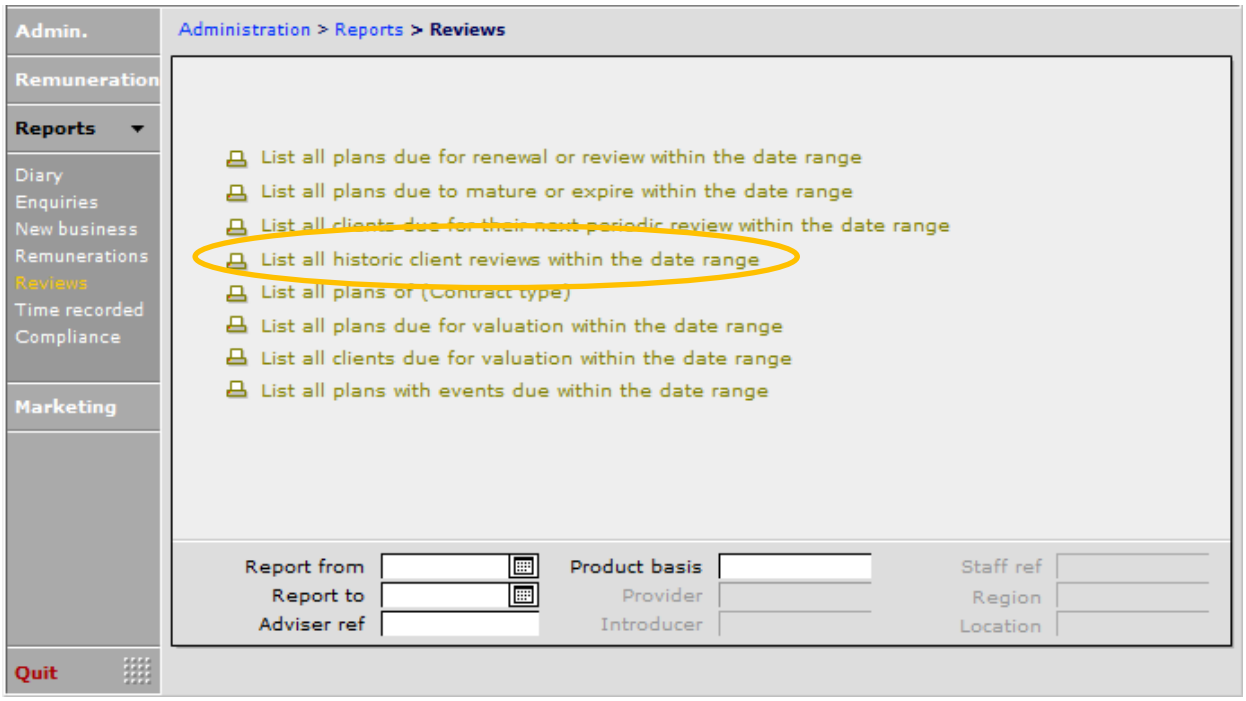

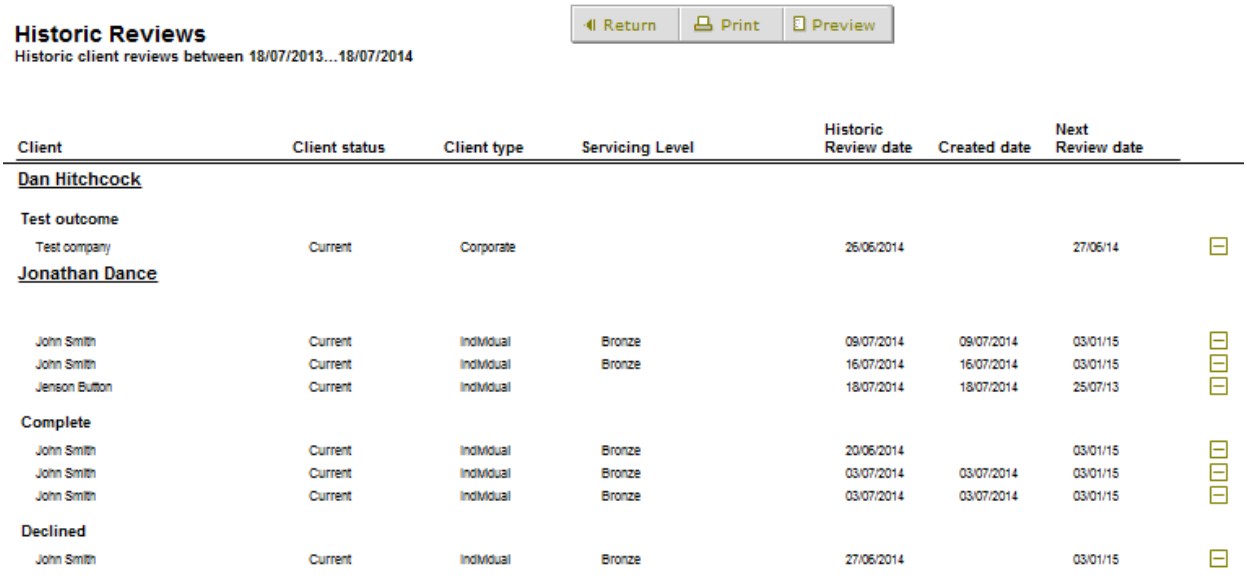

2.6 Remuneration Posting

New options are available to specify whether you wish to post regular and renewal entries up to the current date or through to the end of the month.

This will allow you to choose when to post your regular and renewal remuneration to:

- All remunerations due up to and including the date they are posting (default)
- All remunerations due up to and including the last day of the month they are posting in

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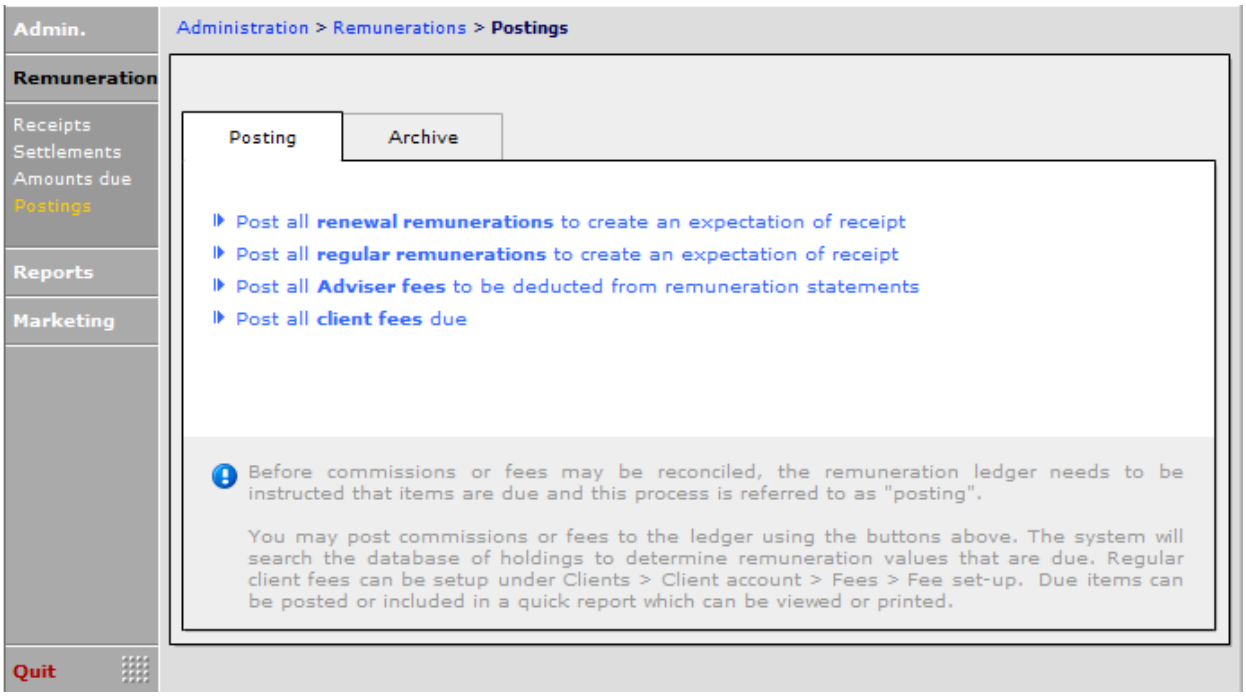
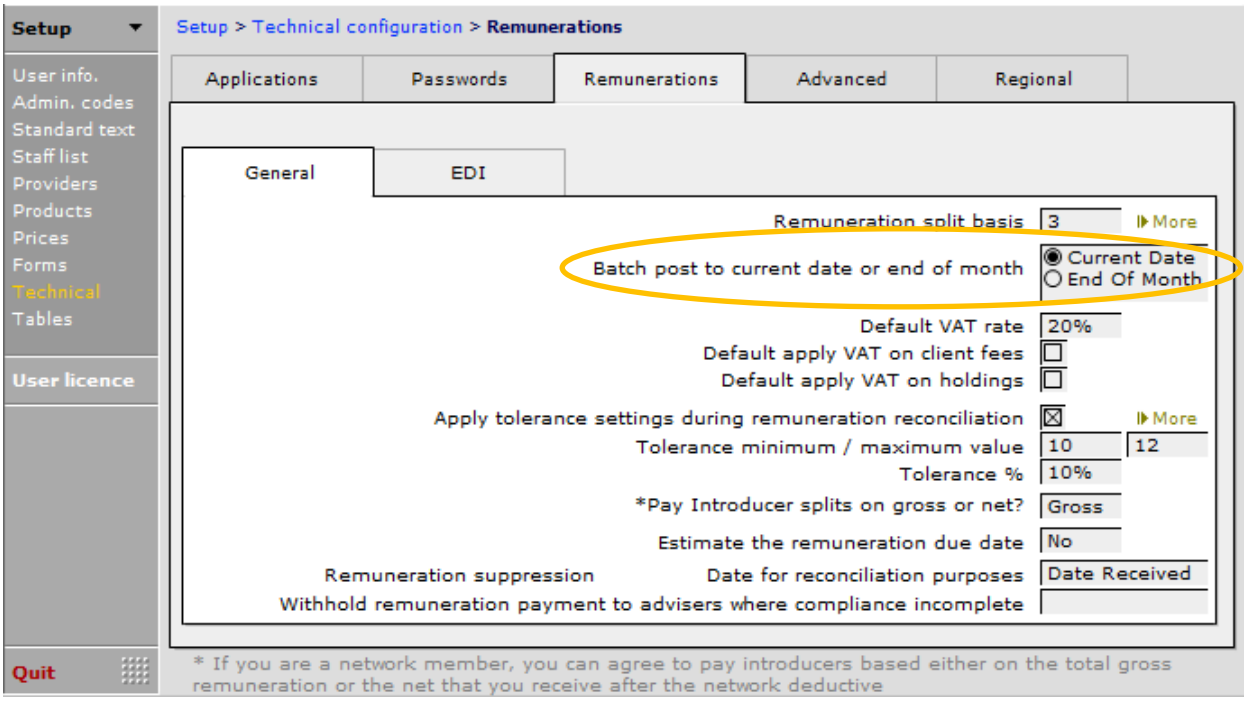
The system will only be able to post the amounts due that are known about at the time of posting i.e. from last date posted. Therefore if a new piece of business is input into CCD after the initial posting for that month, you would have to post again to see the remuneration appear in the amounts due for reconciliation.


Admin.
Remuneration
Receipts
Settlements
Amounts due
Postings
Reports
Marketing
Quit
Administration > Remunerations > Postings
Posting
Archive
Post all renewal remunerations to create an expectation of receipt
Post all regular remunerations to create an expectation of receipt
Post all Adviser fees to be deducted from remuneration statements
Post all client fees due
Before commissions or fees may be reconciled, the remuneration ledger needs to be instructed that items are due and this process is referred to as "posting".
You may post commissions or fees to the ledger using the buttons above. The system will search the database of holdings to determine remuneration values that are due. Regular client fees can be setup under Clients > Client account > Fees > Fee set-up. Due items can be posted or included in a quick report which can be viewed or printed.

The preference will be determined under the Setup area, with the default set to post to the current date.



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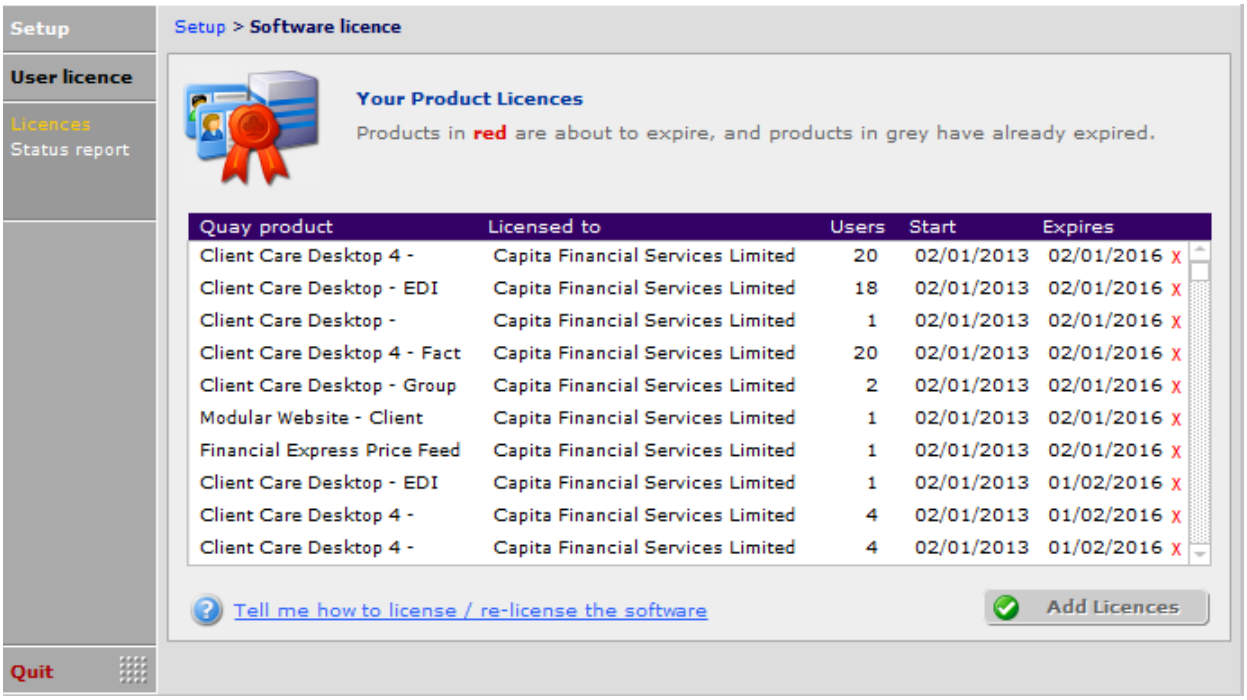
2.7 Licencing

A simplified CCD re-licencing procedure has been introduced to allow the update of licences in one quick easy step.

Before the licence expires on CCD, you will be sent a set of new licences in a .txt document. You will need to save the document to your desktop or another location on your machine.

Navigate to the **User Licence** area within **Setup**, click **Add Licences** and navigate to your saved document. Click open and your licences will be automatically updated.


Setup
User licence
Licences
Status report
Quit
Setup > Software licence
Your Product Licences
Products in red are about to expire, and products in grey have already expired.
Quay product | Licensed to | Users | Start | Expires
Client Care Desktop 4 - | Capita Financial Services Limited | 20 | 02/01/2013 | 02/01/2016
Client Care Desktop - EDI | Capita Financial Services Limited | 18 | 02/01/2013 | 02/01/2016
Client Care Desktop - | Capita Financial Services Limited | 1 | 02/01/2013 | 02/01/2016
Client Care Desktop 4 - Fact | Capita Financial Services Limited | 20 | 02/01/2013 | 02/01/2016
Client Care Desktop - Group | Capita Financial Services Limited | 2 | 02/01/2013 | 02/01/2016
Modular Website - Client | Capita Financial Services Limited | 1 | 02/01/2013 | 02/01/2016
Financial Express Price Feed | Capita Financial Services Limited | 1 | 02/01/2013 | 02/01/2016
Client Care Desktop - EDI | Capita Financial Services Limited | 1 | 02/01/2013 | 01/02/2016
Client Care Desktop 4 - | Capita Financial Services Limited | 4 | 02/01/2013 | 01/02/2016
Client Care Desktop 4 - | Capita Financial Services Limited | 4 | 02/01/2013 | 01/02/2016
Tell me how to license / re-license the software
Add Licences

If your licence has expired, you will need to paste the first licence into the system manually using the old process in order to enable the **Add Licences** button. Once enabled, you can follow the process above to open your licence document which will update the remaining licences automatically.

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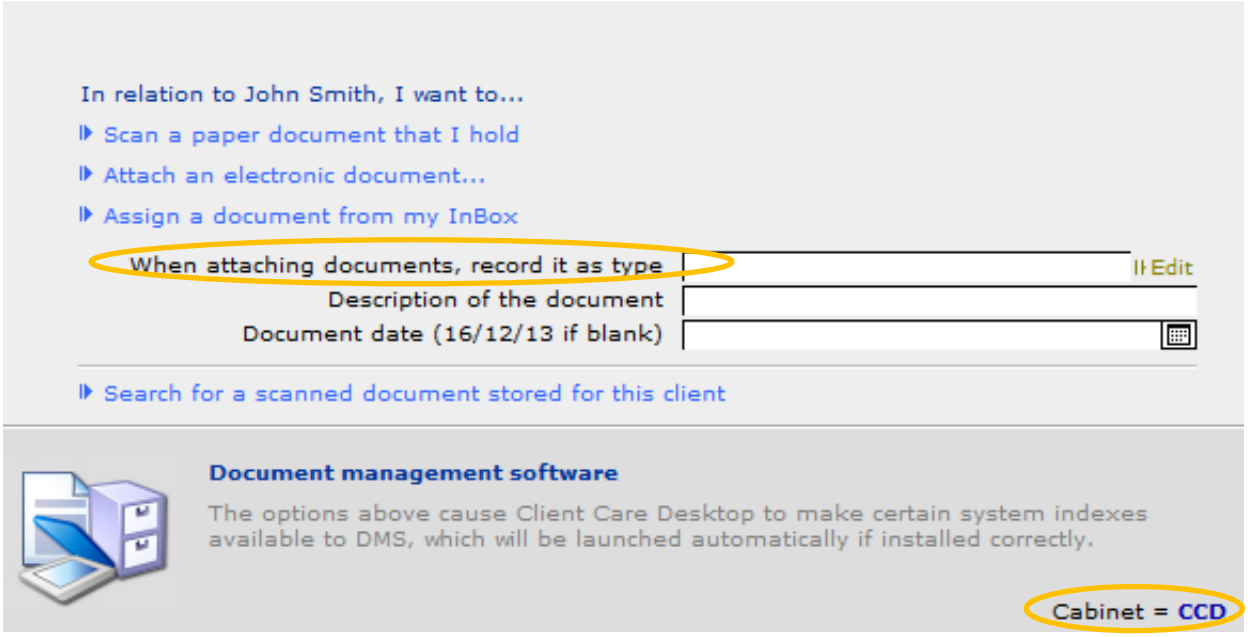
2.8 Document Management Changes – INVU and CabiNET

For users of the INVU and CabiNet document management systems, the functionality has been extended to allow you to add and configure additional cabinets to store documents processed via CCD.

CCD previously stored all documents in one Filing Cabinet, but with the new changes it allows you to specify different cabinets for each area of CCD you scan from. This would also be useful if you wish to restrict access to certain document management cabinets within INVU or CabiNet.

Scanning areas specified in CCD are:

- Clients
- Advice
- Holdings
- Scheme
- Compliance
- Contacts
- Advisers


In relation to John Smith, I want to...
Scan a paper document that I hold
Attach an electronic document...
Assign a document from my InBox
When attaching documents, record it as type
Edit
Description of the document
Document date (16/12/13 if blank)
Search for a scanned document stored for this client
Document management software
The options above cause Client Care Desktop to make certain system indexes available to DMS, which will be launched automatically if installed correctly.
Cabinet = CCD

Please note: Before upgrading to 4.3.2, you will need to take a copy of the items you have in the dropdown list indicated on the screenshot above 'When attaching documents, record it as type'.

After the upgrade, you will need to repopulate this list manually following the instructions under the Editable value lists section of this document.

As the editable values have to be entered individually, if you have a long list of values in this field, please inform our Client Care team when arranging your upgrade so that our support team can import the dropdown list back into your system post upgrade.

For future upgrades, all values recorded in this editable value list will be automatically populated post upgrade.

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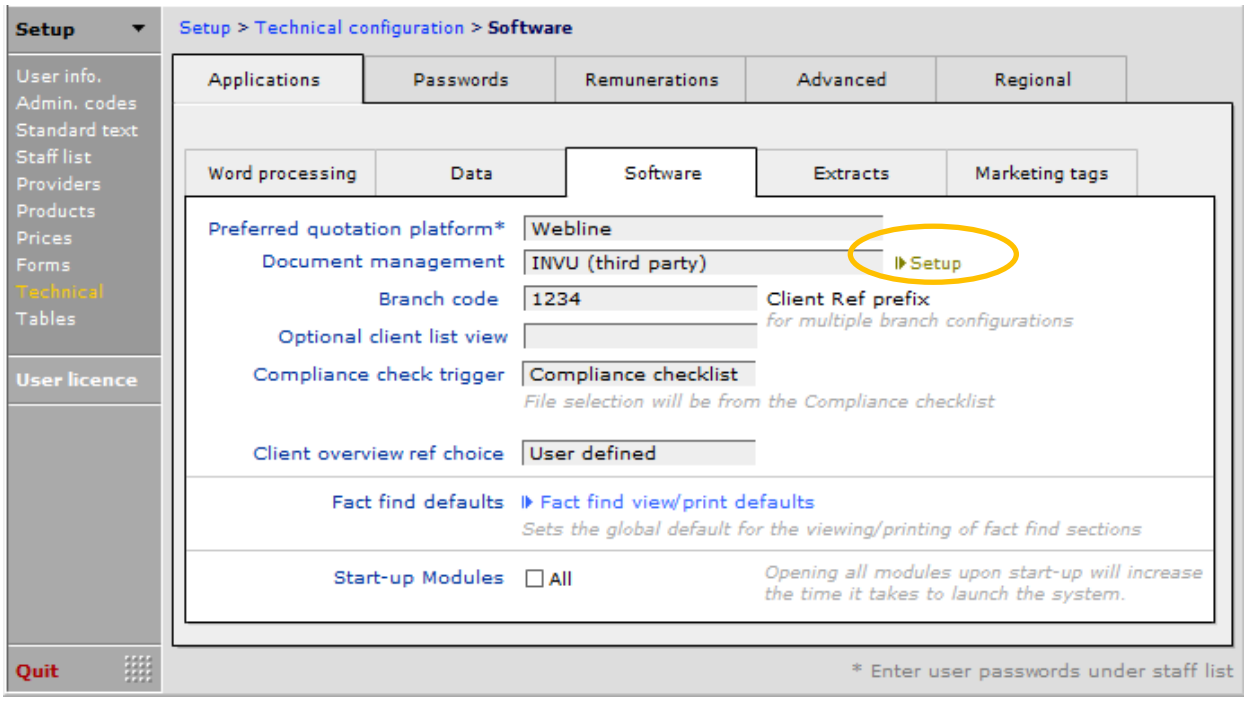
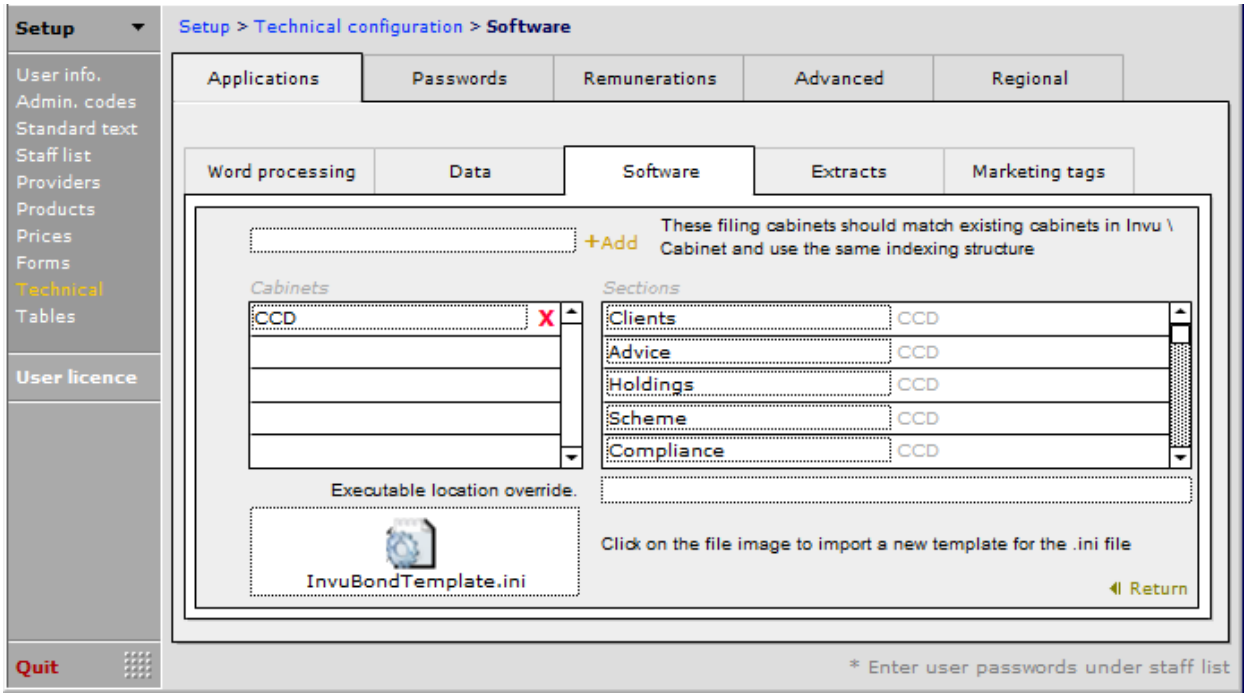
Within the setup area, a section will be added to allow the end user to organise the cabinets and specify what areas in CCD should go to each cabinet.





If you would like to update the InvuBondTemplate.ini file and your cabinet options, please contact Lindenhouse to discuss your modifications beforehand to ensure your proposed changes will not prevent access to your documents.

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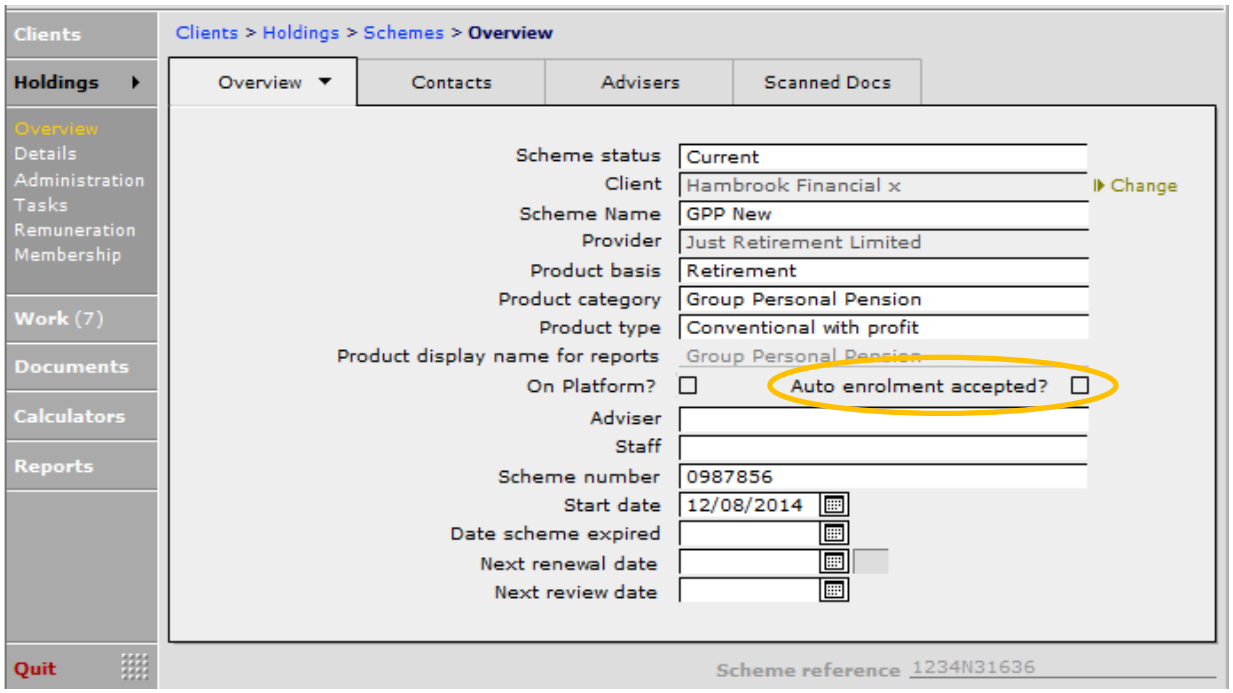
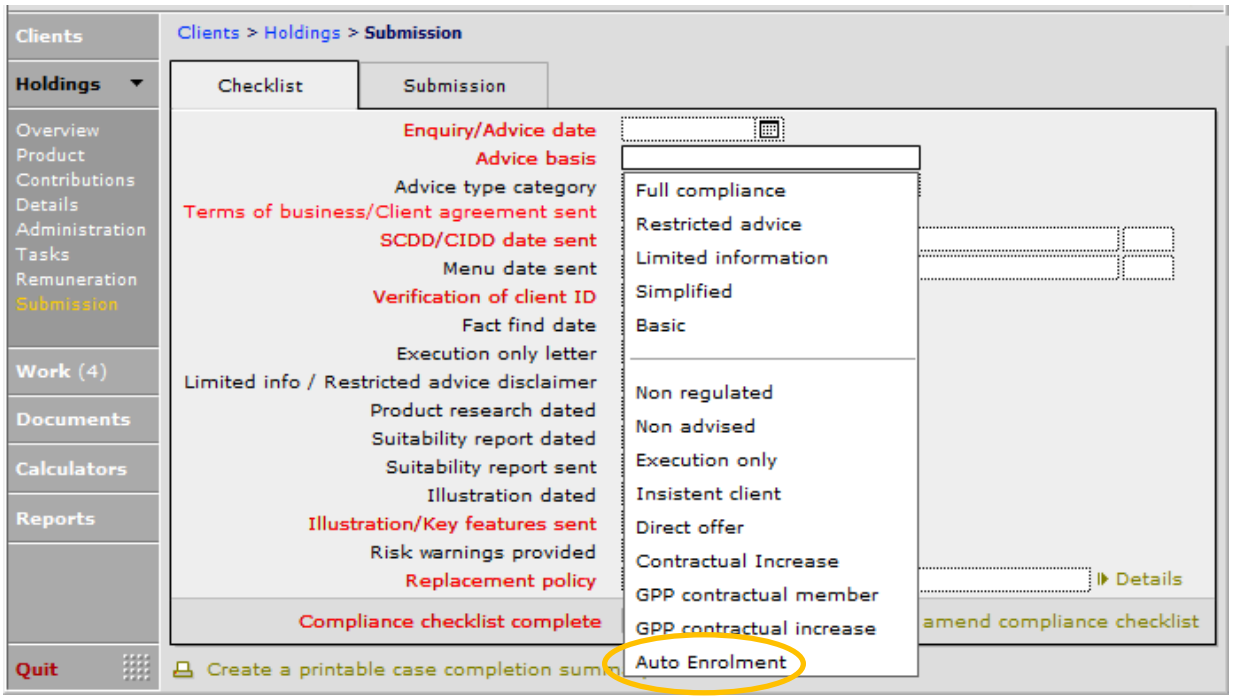
2.9 Auto Enrolment Updates

Updates have been included to flag at a scheme and member level where the auto enrolment process has been used on group schemes. Changes have been incorporated to help users manage auto enrolment on group schemes.

At a scheme level, a flag has been introduced to show that the scheme accepts members via auto enrolment.



At a member level, Auto enrolment has been added to the 'Advice basis' list.



Auto enrolment has also been added to the 'Business Source' core custom editable value list.

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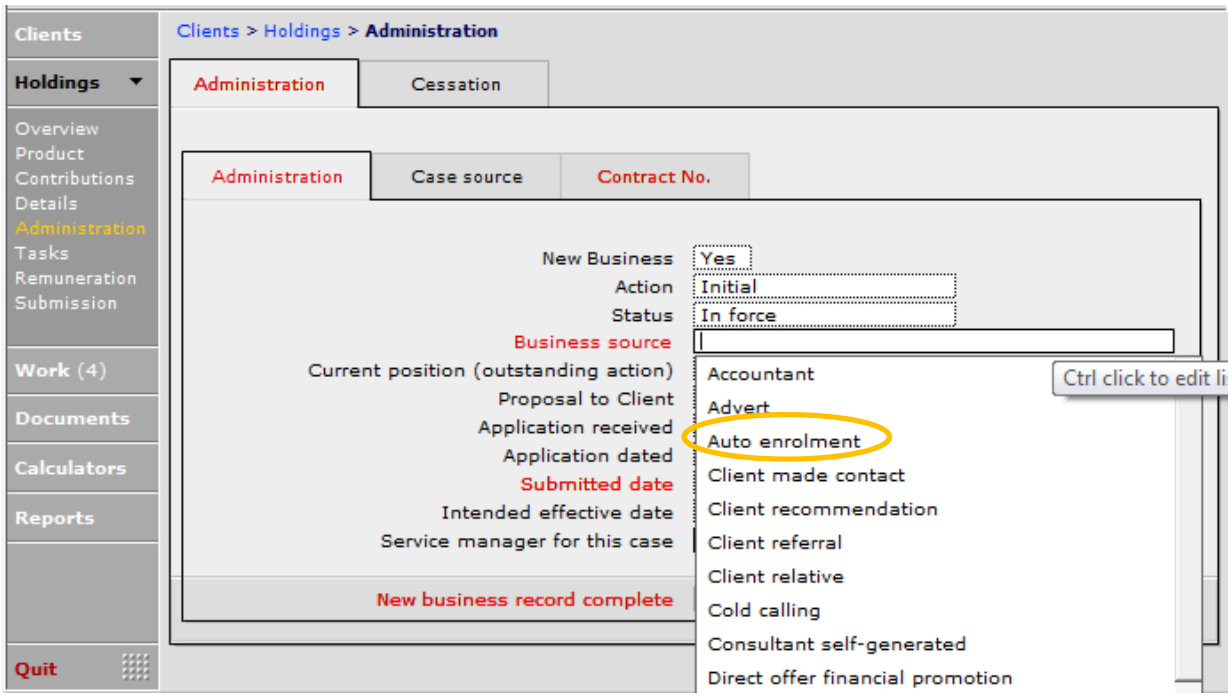

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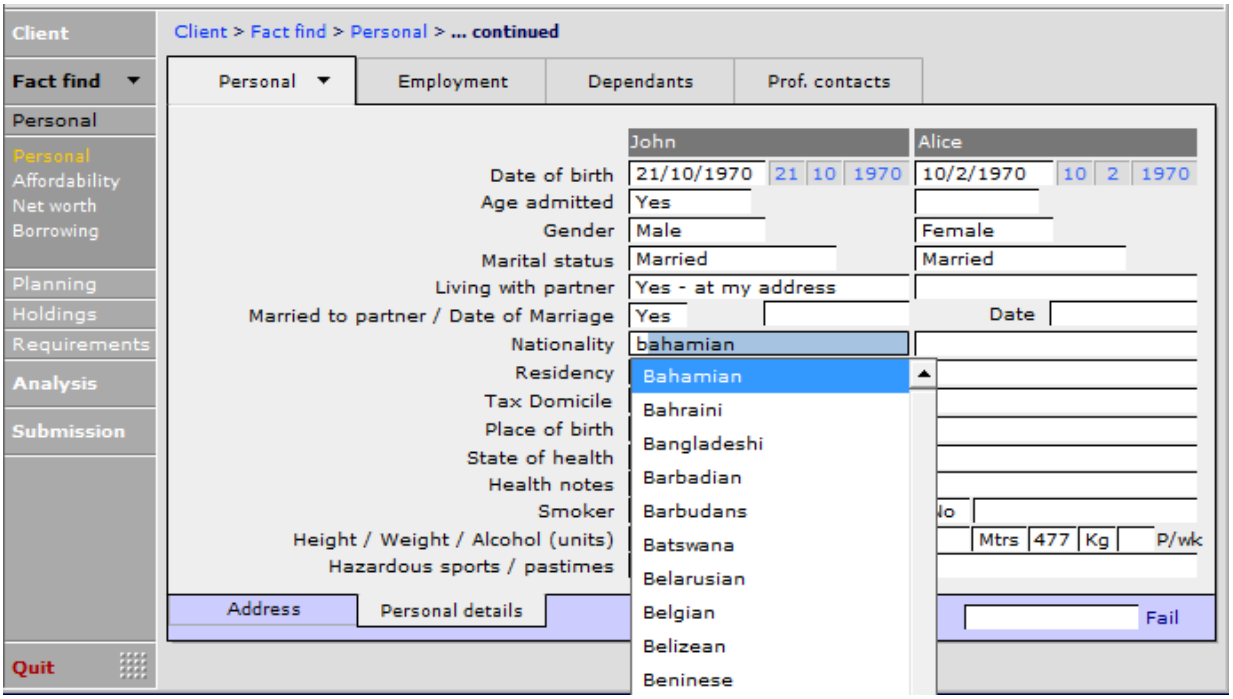
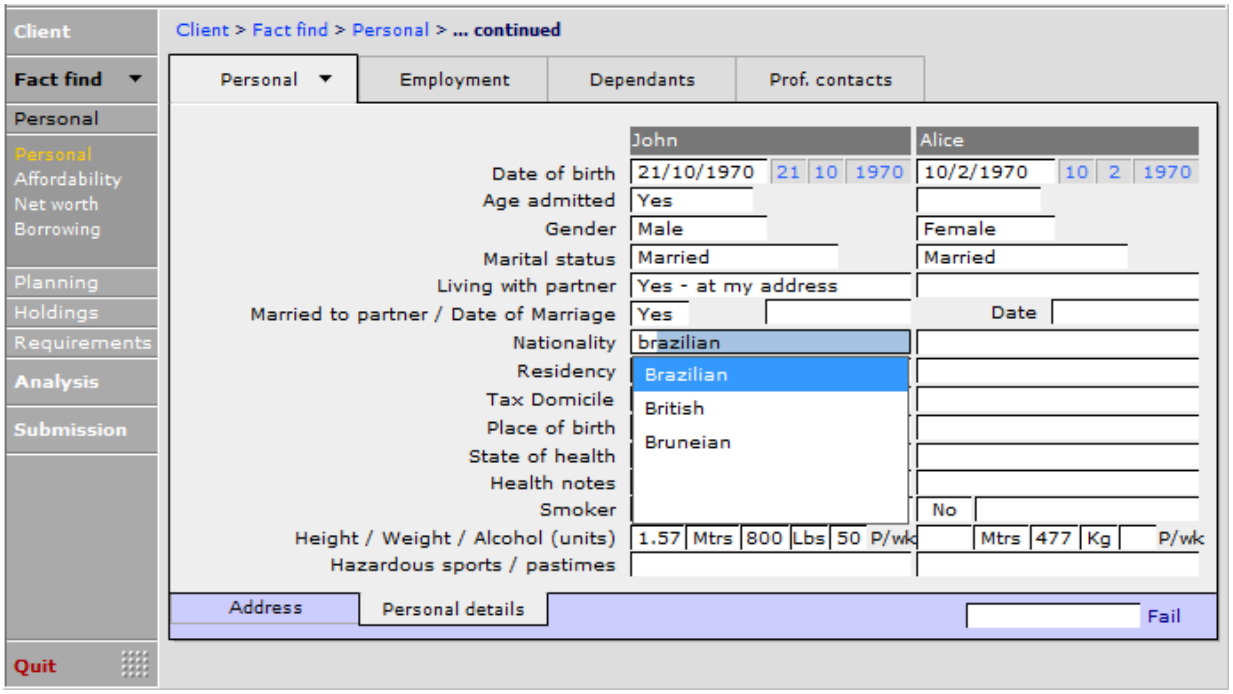
2.10 List Data Entry

We have introduced some additional standard lists to the system, which you will see in areas such as Nationality, Residency and Tax Domicile.



You will also start to notice that many of the existing lists will reduce as you start to enter the data.



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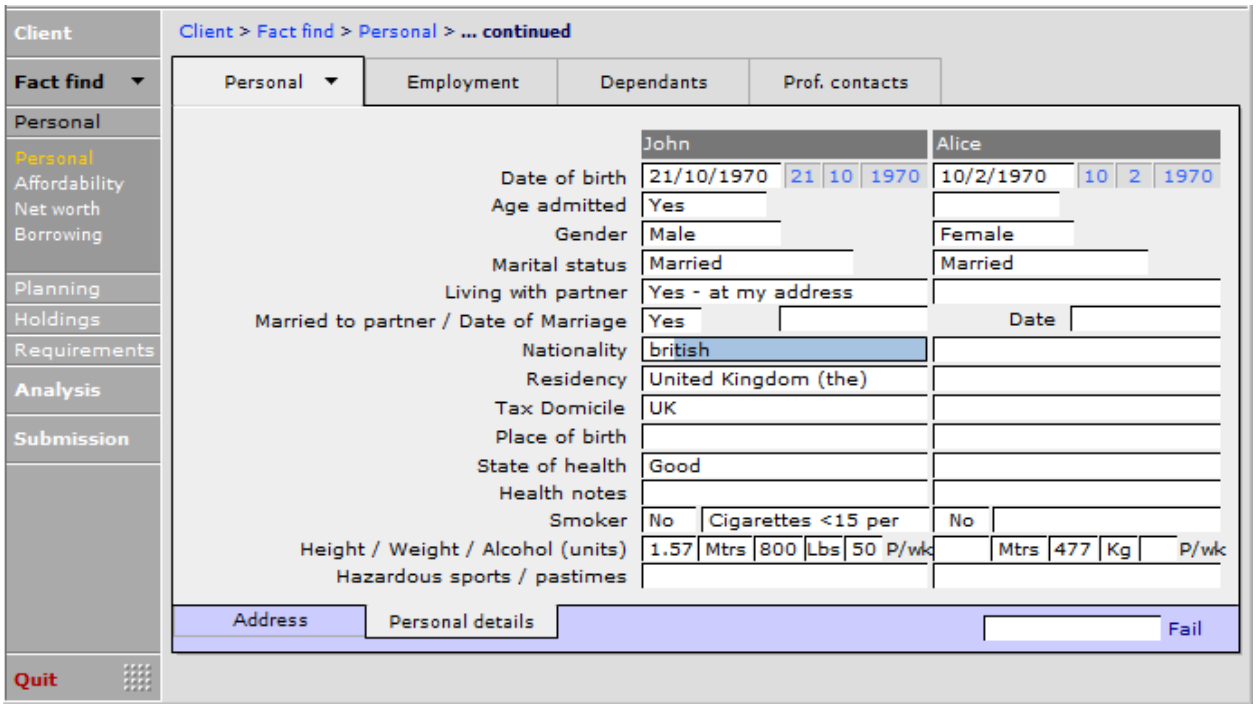
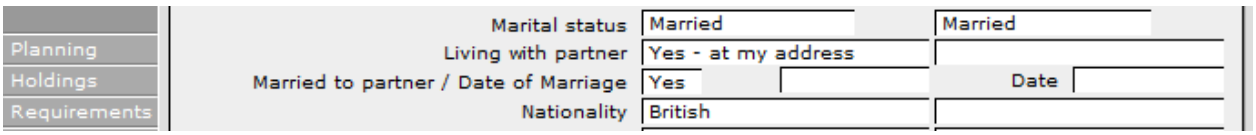
Where there is only a single option left to select, the system will automatically populate the data in the field allowing you to confirm and move to the next field. In the example used, the list reduced each time as you entered a letter, entering 'bri' reduced the list to populate a single entry of British.





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3 Modifications

This section details some of the modifications since the last release.

3.1 Holding Table Report

Additional fields have been included in the table of holding records within the administration reporting area to enable you to query more data. New fields include:

- Product Basis
- Mortgage basis
- Mortgage: Special requirements
- Mortgage: Evidence of earnings

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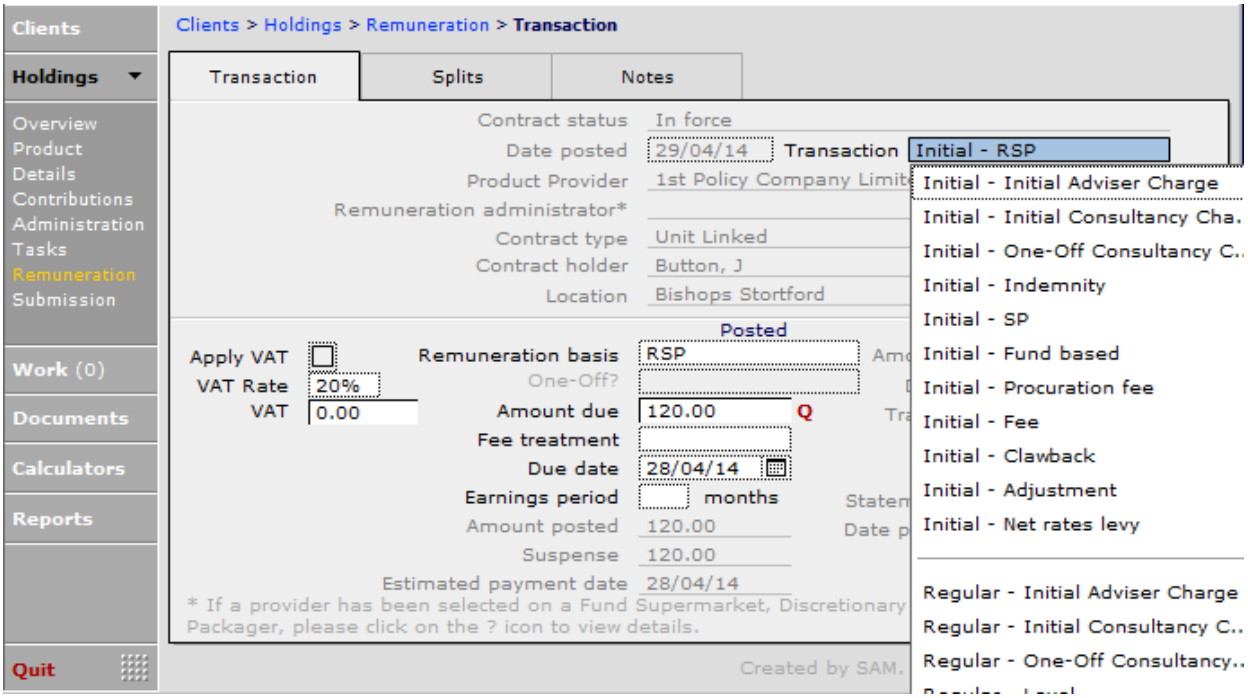
3.2 Transaction Field Update

The values in the Transaction field within a remuneration record will display all remuneration types, allowing the user to amend the value within the record.



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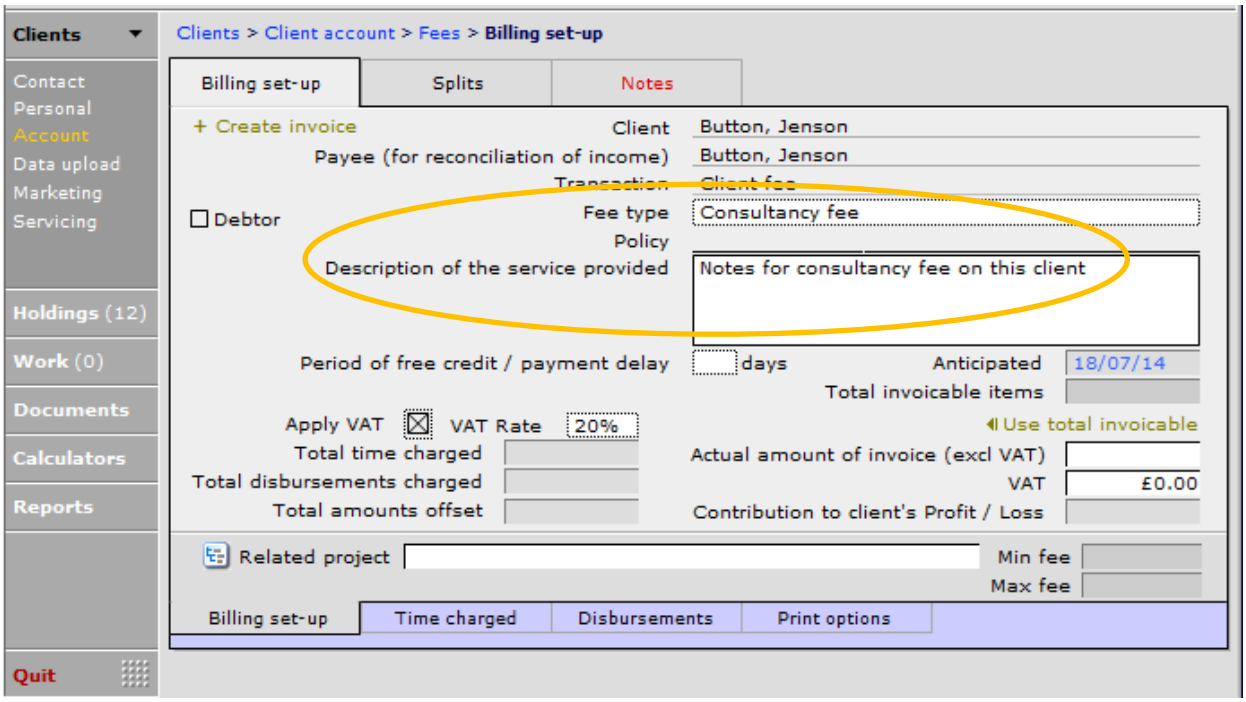
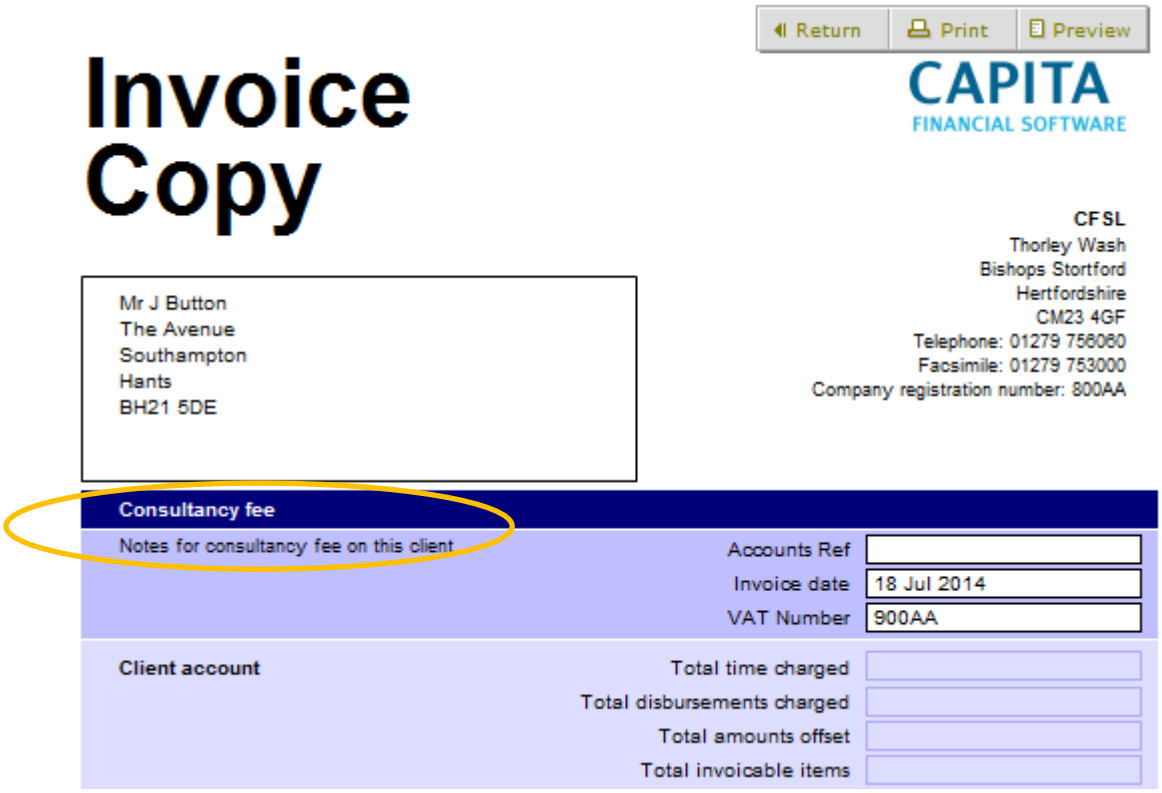
3.3 Invoice Note Fields

An additional notes field has been included on Invoices to allow the end user to add notes relating specifically to the individual invoice. These notes will appear on the printable invoice.

The Fee type is an editable dropdown list available to select on all clients. The Description of the service provided field enables you to add notes to the invoice that apply specifically to that invoice.





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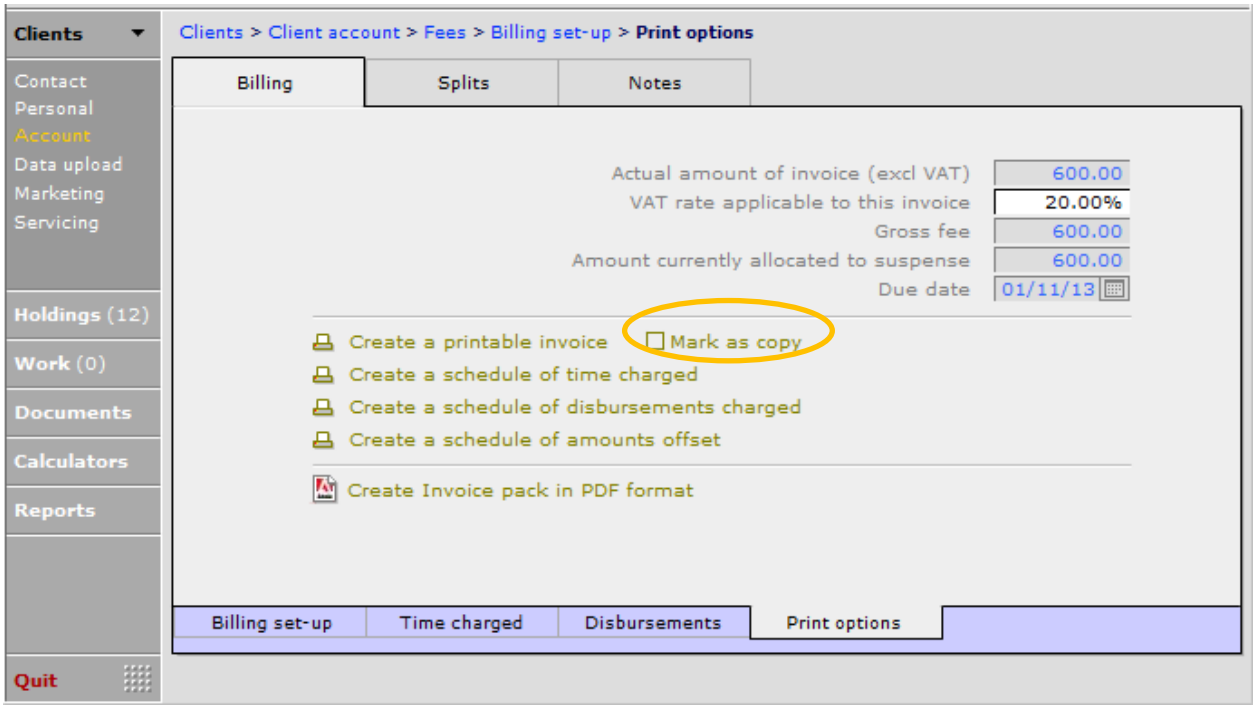
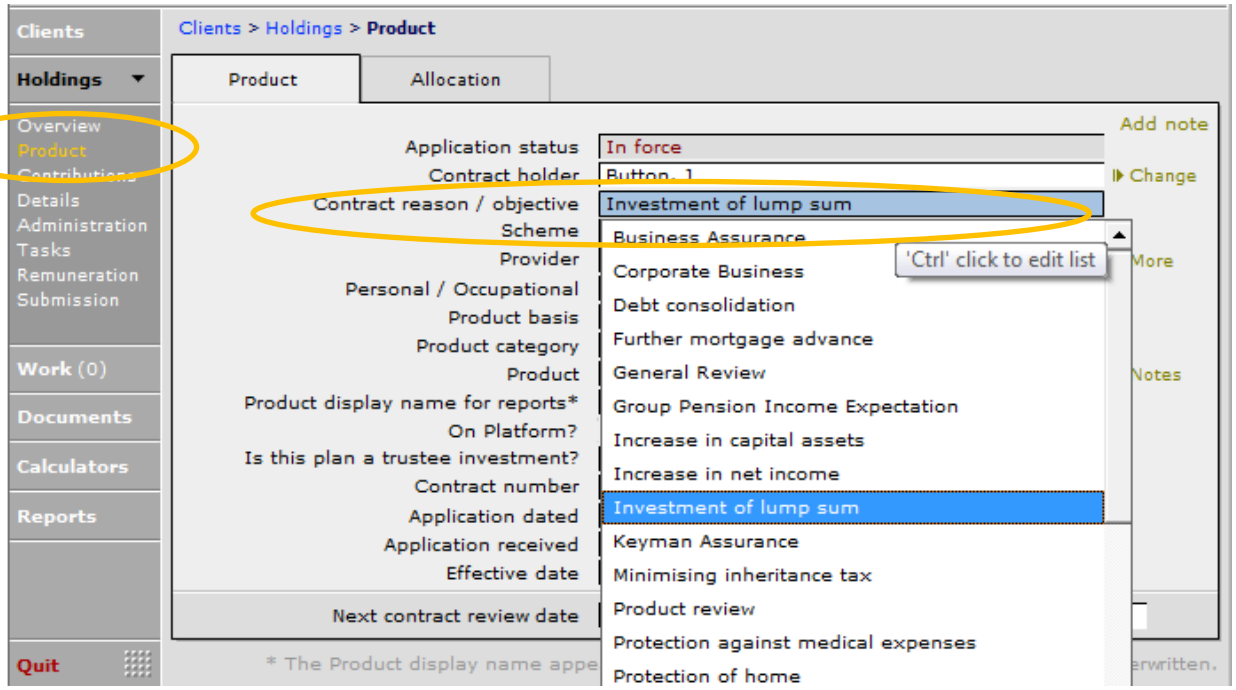
3.4 Producing a Copy Invoice

Within the Client invoicing section, you now have the ability to print an original invoice or mark it as a copy invoice.



3.5 Contract Reason/Objective

The contract reason/objective list on the holding product screen is now available as an editable value list, allowing the end user to include additional values specific to their firm.



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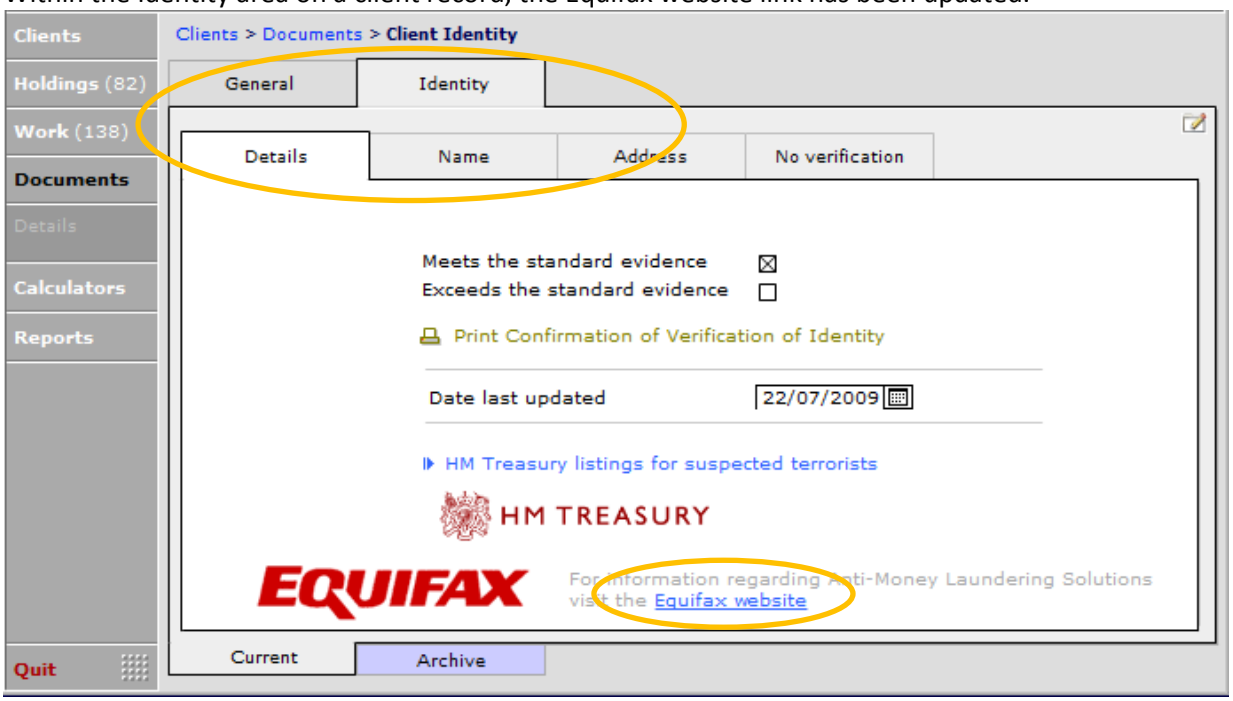
3.6 Equifax Website Link Update

Within the Identity area on a client record, the Equifax website link has been updated.



3.7 Changes to the Upgrade Routine

The upgrade routine has been updated to condense the number of actions performed to run the upgrade. Clients upgrading from a more recent version of CCD should benefit from a reduced upgrade time.

Once the Installation has completed a summary of the upgrade will be displayed to enable you to validate that the database files have been successfully upgraded and no records have been lost.

Detailed instructions on how to run an upgrade can be found on the Downloads section of our website under Installation Notes.

The Financial Express data is not part of the migration, therefore please run a Financial Express update once the upgrade is complete to populate the latest fund information in your system.

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CAPITA

CLIENT CARE DESKTOP UPGRADE

Source:	CCD4_0141	Process Started:	19/09/2014 11:28:53	Imports Started:	19/09/2014 12:22:11	Data updates started:	19/09/2014 12:24:02
Target:	CCD4_0178	Process completed:	19/09/2014 12:25:40	Imports completed:	19/09/2014 12:23:58	Data updates completed:	19/09/2014 12:25:40

SOURCE RECORDS

Advice	35	M4Advisr	5
Agencies	0	-- Splits	36
Analysis	29	M4breach	0
Archive	15	M4cpdlog	0
BatchMaster_Update	0	M4cplain	1
Batchmembers	0	M4dicipn	0
Cheques	15	M4docs	2
Clients	55	M4refrnce	0
-- Clients_Goals	2	Manager	413
CommMatching	0	-- ADV_Locations	411
Commrec	93	-- Reviews	413
-- _temp_commission_splits	1031	-- AdviceTypes	0
-- Invoice	0	-- SystemPrefs	1
-- Offset	0	-- Goal_List	3
-- VAT	0	Marketing	5
Contacts	9	mreport	7
-- Commission Basis Deductive	8	OTP_Import	0
Credit	0	OTP_Mappings	0
Devel	0	Pad	462
ECommArc	0	Preferences	1
ECommIn	0	-- Cabinets	0
Employees	0	-- ClientServicing	0
EReceipt	0	-- Language	3
Factfind	20	-- Invu	0
-- ChildTrust	8	-- Networks	20
Fees	9	-- PasswordHist	0
Firms	2	-- Sections	0
Fund	110063	-- ValueListMembers	0
-- Fund_Allocation_Detail	--	Premcomm	216
-- Fund_Allocation	--	RMARreps	--
-- ProviderCodeMap	0	-- SectK_Charges	0
InSadds	3221	-- SectL_Charges	0
Insurer	2544	Salaries	12
Invest	73	Scheme	3
-- Archive	71	Schemeco	1
KPI	2	Units	0
Ledger	0	Withdrawals	4
LinkSync_Messages	0	Work	76
Log	151	WIPimport	0

TARGET RECORDS

Advice	35	M4Advisr	5
Agencies	0	-- Splits	36
Analysis	29	M4breach	0
Archive	15	M4cpdlog	0
BatchMaster_Update	0	M4cplain	1
Batchmembers	0	M4dicipn	0
Cheques	15	M4docs	2
Clients	55	M4refrnce	0
-- Clients_Goals	2	Manager	413
CommMatching	0	-- ADV_Locations	411
Commrec	93	-- Reviews	413
-- _temp_commission_splits	1031	-- AdviceTypes	0
-- Invoice	0	-- SystemPrefs	1
-- Offset	0	-- Goal_List	3
-- VAT	0	Marketing	5
Contacts	9	mreport	7
-- Commission Basis Deductive	8	OTP_Import	0
Credit	0	OTP_Mappings	0
Devel	0	Pad	462
ECommArc	0	Preferences	1
ECommIn	0	-- Cabinets	1
Employees	0	-- ClientServicing	0
EReceipt	0	-- Language	3
Factfind	20	-- Invu	1
-- ChildTrust	8	-- Networks	21
Fees	9	-- PasswordHist	0
Firms	2	-- Sections	7
Fund	20 *	-- ValueListMembers	1107
-- Fund_Allocation_Detail	-- *	Premcomm	216
-- Fund_Allocation	-- *	RMARreps	--
-- ProviderCodeMap	0	-- SectKCharges	0
InSadds	3221	-- SectLCharges	0
Insurer	2763	Salaries	12
Invest	73	Scheme	3
-- Archive	71	Schemeco	1
KPI	2	Units	0
Ledger	0	Withdrawals	4
LinkSync_Messages	0	Work	76
Log	151	WIPimport	0

* Financial Express sourced data does not get migrated and should be repopulated post upgrade via the normal integration service

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